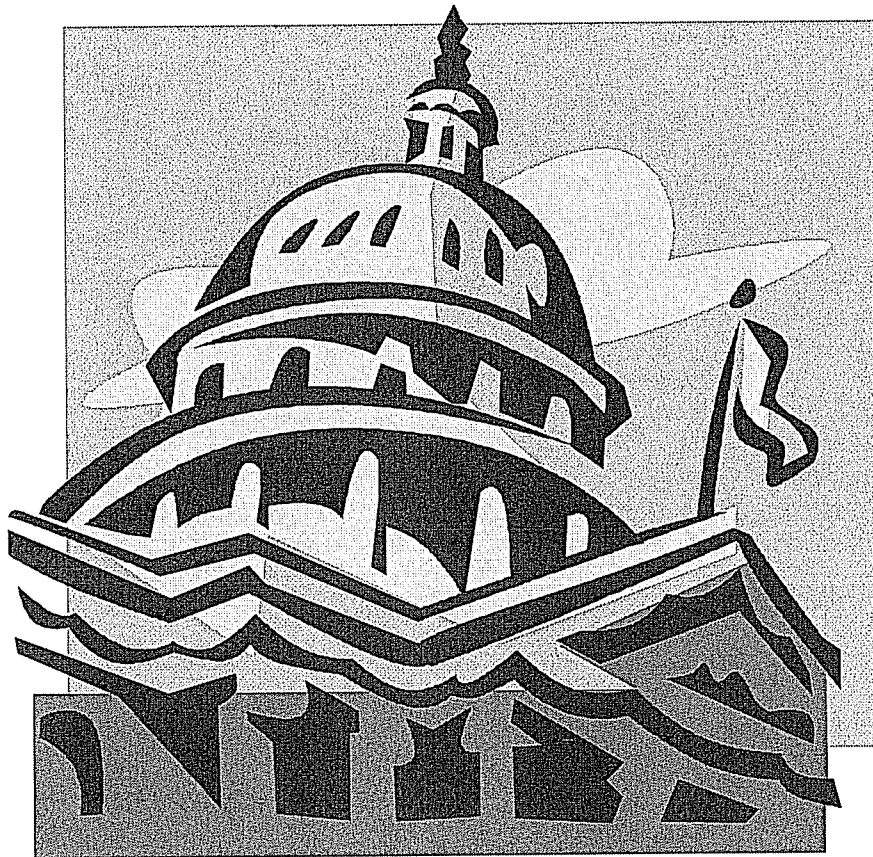


STATE OF RHODE ISLAND BOARD OF ELECTIONS

RI CAMPAIGN CONTRIBUTIONS & EXPENDITURES REPORTING ACT (R.I.G.L. 17-25)

2011



CAMPAIGN FINANCE MANUAL

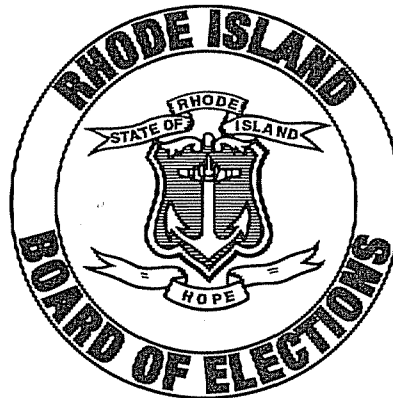
JANUARY 2011

**STATE OF RHODE ISLAND
BOARD OF ELECTIONS**

John A. Daluz, *Chairman*
Frank J. Rego, *Vice-Chairman*
Florence G. Gormley
Richard H. Pierce
Martin E. Joyce, Jr.
William West
Richard Dubois

Robert Kando
Executive Director

Richard E. Thornton
Director of Campaign Finance



50 Branch Avenue
Providence, Rhode Island 02904
(401) 222-2345 (401) 222-4424 FAX

www.elections.ri.gov
Email: campaignfinance@elections.ri.gov

TABLE OF CONTENTS

INTRODUCTION	6
1.0 PERSONS AND ENTITIES SUBJECT TO THE CAMPAIGN FINANCE LAWS.....	7
1.1 CANDIDATES, POLITICAL ACTION COMMITTEES AND POLITICAL PARTY COMMITTEES	7
1.1.1 <i>Candidate</i>	7
1.1.2 <i>Political Action Committee</i>	7
1.1.3 <i>Political Party Committee</i>	8
1.2 INDEPENDENT EXPENDITURES.....	8
2.0 DUTIES OF A CANDIDATE.....	9
2.1 NOTICE OF ORGANIZATION	9
2.2 APPOINTMENT OR REMOVAL OF TREASURERS	9
2.3 RESPONSIBILITIES OF A CANDIDATE.....	10
2.4 CANDIDATES AND THE RHODE ISLAND ETHICS COMMISSION	10
2.4.1 <i>Candidate Financial Disclosure-Rhode Island Ethics Commission</i>	10
2.5 CANDIDATES AND THE RI DIVISION OF TAXATION.....	11
3.0 DUTIES OF A POLITICAL PARTY COMMITTEE	12
3.1 NOTICE OF ORGANIZATION	12
3.2 APPOINTMENT OR REMOVAL OF TREASURERS	12
3.3 ANNUAL REPORT	12
4.0 DUTIES OF A POLITICAL ACTION COMMITTEE (PAC).....	13
4.1 NOTICE OF ORGANIZATION	13
4.2 APPOINTMENT OR REMOVAL OF TREASURERS	14
5.0 DUTIES OF CAMPAIGN TREASURERS	14
5.1 RECORD KEEPING.....	14
5.1.1 <i>Depository Account</i>	14
5.2 WHO MAY RECEIVE CONTRIBUTIONS OR EXPEND FUNDS	15
5.3 RESIGNATION OF A TREASURER OR DEPUTY TREASURER	15
6.0 CAMPAIGN FINANCE REPORTS & SCHEDULES	16
6.1 PERSONS AUTHORIZED TO FILE	16
6.2 CAMPAIGN FINANCE FORMS	16
6.3 ELECTRONIC FILING	17
6.4 REPORTING SCHEDULES	18
6.4a <i>Annual Filing Exemption</i>	19
6.4b <i>Dissolving a Campaign Account</i>	19
6.4c <i>Amendments To Reports</i>	20
6.5 FILING DEADLINES	20
6.5.1 <i>"In-Person" & By Mail Filings</i>	20
6.6 FILING EXTENSIONS	21
6.6.1 <i>Filing Extension Schedule</i>	21
6.6.2 <i>Required Information for Filing Extension</i>	21
6.6.3 <i>Response to Request For Filing Extension</i>	22
7.0 ELECTRONIC FILING	23
7.1 CANDIDATES	23
7.1.1 <i>General Office</i>	23

7.1.2 Non-General Office	23
7.1.3 Matching Public Funds	23
7.2 POLITICAL PARTY COMMITTEE	23
7.3 POLITICAL ACTION COMMITTEE	24
7.4 ELECTRONIC SIGNATURES	24
8.0 NON-COMPLIANCE & PENALTIES	25
8.1 DELINQUENT REPORTS	25
8.2 NOTICE OF NON-COMPLIANCE & PENALTIES	25
8.3 PAYMENT OF FINES, FEES AND PENALTIES	26
8.4 APPEALS OF FINES	26
9.0 CONTRIBUTIONS	27
9.1 REPORTING CONTRIBUTIONS	27
9.2 LIMITATIONS ON CONTRIBUTIONS	27
9.2.1 Contributions from Dependent Children	28
9.3 CONTRIBUTIONS MADE & RECEIVED IN EXCESS OF THE ALLOWABLE ANNUAL CONTRIBUTION LIMITS	30
9.4 TRANSACTION TYPES	30
9.4.1 Cash	30
9.4.2 Check, Money Order, Credit/Debit Card and via Electronic Pay System	30
9.4.3 In-Kind	30
9.4.4 Loan	31
9.4.5 Other	31
9.5 CONTRIBUTION TYPES	31
9.5.1 Individual	31
9.5.2 Aggregate/Individual	32
9.5.3 Political Action Committee (PAC)	33
9.5.4 Political Party Committee	33
9.5.5 Loan Proceeds	34
9.5.6 In-Kind (Individual)	34
9.5.7 In-Kind (Political Party Committee)	34
9.5.8 In-Kind (Political Action Committee)	34
9.5.9 Interest Received	35
9.5.10 Refund/Rebate	35
9.5.11 Other Receipt	35
9.5.12 Matching Public Funds	35
9.6 LAWFUL METHODS OF CONTRIBUTING	35
9.6.1 Contributions Through Campaign Treasurer	35
9.6.2 Only Individuals, PACs And Political Party Committees May Make Contributions	35
9.7 UNLAWFUL CONTRIBUTIONS	36
9.7.1 Anonymous Or Third-Party Contributions	36
9.7.2 Solicitation Of Contributions From Classified State Employees	36
9.7.3 Contributions By Corporations And Other Business Entities Prohibited	36
9.8 REFUNDING CONTRIBUTIONS	37
9.9 UNUSED CAMPAIGN FUNDS	37
9.10 TESTIMONIALS	37
9.11 SUMMARY OF ALLOWABLE AND PROHIBITED CONTRIBUTIONS	37
10.0 EXPENDITURES	38
10.1 DISBURSEMENT TYPES	38
10.1.2 Campaign Expenditure	38
10.1.3 Aggregate Expenditure	38
10.1.4 Repayment of Loan	38
10.1.5 Accounts Payable	39

10.1.6 Accounts Payable Repayment.....	39
10.2 EXPENDITURE TYPES.....	39
10.2.1 Advertising.....	39
10.2.2 Bank Fees.....	40
10.2.3 Consultant & Professional Services.....	40
10.2.4 Donations (Political).....	40
10.2.5 Donations (All Others).....	40
10.2.6 Employee Services.....	40
10.2.7 Entertainment.....	40
10.2.8 Food, Beverages and Meals.....	40
10.2.9 Fundraising Expenses.....	41
10.2.10 Gifts.....	41
10.2.11 Office Equipment & Supplies.....	41
10.2.12 Other.....	41
10.2.13 Rent & Utilities.....	41
10.2.14 Telephone.....	41
10.2.15 Travel & Lodging.....	41
10.2.16 Loan Payment.....	42
10.2.17 Refunds/Reimbursements.....	42
10.3 PERMITTED/PROHIBITED USES OF CAMPAIGN FUNDS.....	42
10.4 PETTY CASH FUND.....	42
APPENDIX A	43
CF-1	44
CF-1 INSTRUCTIONS	45
CF-2	46
CF-2 INSTRUCTIONS	47
CF-3	48
CF-3 INSTRUCTIONS	49
CF-4	50
CF-4 INSTRUCTIONS	51
CF-5	52
CF-7	53
CF-8	54
CF-8 INSTRUCTIONS	55
APPENDIX B	56
SUMMARY CHART OF ALLOWABLE AND PROHIBITED CONTRIBUTIONS.....	57
APPENDIX C	58
CF-4-TVR.....	59
APPENDIX D.....	60
RULES, REGULATIONS AND POLICIES	
POLICY ON THE PERMITTED/PROHIBITED USES OF CAMPAIGN FUNDS	
POLICY ON FINES & PENALTIES FOR CONTRIBUTIONS MADE & RECEIVED IN EXCESS OF THE ALLOWABLE ANNUAL CONTRIBUTION LIMITS	
RULES AND REGULATIONS FOR THE APPEALING OF LATE FINES	
RULES AND REGULATIONS FOR CONTRIBUTIONS AND EXPENDITURES REPORTING	
RULES AND REGULATIONS ON REPORTING REQUIREMENTS FOR COORDINATED AND INDEPENDENT EXPENDITURES	

INTRODUCTION

The Board of Elections ("Board") has revised the Campaign Finance Manual to provide candidates, officeholders, committees and the public with the most recent changes in campaign finance law and guidance on how to comply with campaign finance disclosure and filing requirements set forth in the Rhode Island Campaign Contribution and Expenditures Reporting Act ("Act"). [See 17-25].

This manual is designed to serve as a resource for campaign finance requirements. The Board has made every effort to ensure the accuracy of the information in this publication, but is not liable for errors or omissions of content. Where your legal rights are involved, do not rely on this manual. Instead, review the law yourself or consult your attorney.

If you have any problems or questions not resolved by this manual, please call a member of the campaign finance staff at (401) 222-2345; meet with a member of the campaign finance staff in person; or e-mail the Board at campaignfinance@elections.ri.gov.

For the most up-to-date version of this manual and all forms, please visit the Rhode Island Board of Elections website at www.elections.ri.gov.

1.0 PERSONS AND ENTITIES SUBJECT TO THE CAMPAIGN FINANCE LAWS

1.1 Candidates, Political Action Committees and Political Party Committees

Rhode Island state law requires all candidates for public office, political action committees and political party committees to file periodic reports of campaign contributions and expenditures, *even if for such a period, contributions and expenditures shall equal zero*. The method by which these contributions and expenditures are reported is determined by the amount of funds raised or expended.

1.1.1 Candidate

A Candidate is defined as any person who undertakes any action whether preliminary or final, which is necessary under the law to qualify for nomination for election or election to public office. This would include receiving any contribution or making any expenditure or giving consent for any other person to receive a contribution or make an expenditure to bring about a nomination or election to any public office even if such office is unknown at that time. A person may be considered a candidate for public office even though such person has not declared himself or herself to be a candidate for public office.

[§17-25-3(a); 17-25-11]

For the purposes of the Act, this shall not include candidates for political party offices, which shall mean a state, city, town, ward, representative or senatorial district committee office of a political party, or a delegate to a political party convention or any similar office, but shall include a candidate who has been elected to public office. [§17-25-3(h)], but shall include a candidate who has been elected to public office.

Withdrawal or termination of candidacy does not relieve the candidate from keeping accurate records and making necessary reports through the time of termination of candidacy or dissolution of the fund, whichever is the latter.

[§17-25-3(a); 17-25-7; 17-25-11]

1.1.2 Political Action Committee

A Political Action Committee (PAC) is any group of two (2) or more persons who accepts any contributions to be used for advocating the election or defeat of any candidate or candidates. Only PACs that have accepted contributions from fifteen (15) or more persons in amounts of ten dollars (\$10.00) or more within an "election cycle" shall be permitted to make contributions, and said PACs must make contributions to at least five (5) or more non-Federal RI candidates within the same "election cycle". [See §17-25-3(10)]

- The term “election cycle” means the twenty-four (24) month period commencing on January 1 of odd number years and ending December 31 of even number years; provided, however, with respect to the public financing of election campaigns of General Officers, under §17-25-19; §17-25-20 and §17-25-25, “election cycle” shall mean the forty-eight (48) month period commencing on January 1 of odd number years and ending December 31 of even number years.
[See §17-25-3(5)]

1.1.3 Political Party Committee

The term Political Party Committee shall mean each state and municipal committee of a political party. A state committee of a political party includes the state committee of each political party and each senatorial and representative district committee. A municipal committee of a political party includes the city and town committees of each political party and each ward committee. [See § 17-12; 17-1-2(6)]

1.2 Independent Expenditures

Independent expenditures made by any “person” not otherwise prohibited by law and not acting in concert with any other person or group that exceed one hundred dollars (\$100.00) within a calendar year to support or defeat a candidate, are required to be reported by the person making such independent expenditure to the Board of Elections by filing a “Schedule of Independent Expenditures” (Form CF-8) and to the campaign treasurer or deputy treasurer of the candidate or political party committee on whose behalf the expenditures were made within seven (7) days of making such expenditures. There is no limitation on the amount that a person, not acting in concert with any other person or group, may expend from such person’s own funds to support or defeat a candidate [See § 17-25-10(b)].

- “Person” means an individual, partnership, committee, association, corporation, and any other organization. [See §17-25-3(9)]

Please refer to Rules and Regulations on Reporting Requirements for Coordinated and Independent Expenditures (Appendix D).

2.0 DUTIES OF A CANDIDATE

2.1 Notice of Organization

Each candidate shall file a "Notice Of Organization" (Form CF-1) with the Board of Elections upon filing his or her declaration of candidacy or before receiving a contribution or making an expenditure in furtherance or aid of his or her candidacy, **whichever occurs first**. [See §17-25-8]

The Notice of Organization shall contain:

- The name of the candidate
- Key # (if already assigned by the Board of Elections)
- Street and mailing addresses
- Contact information
- Office sought (if known at the time)
- Party affiliation, if any
- The name, address, contact information and signature of the appointed or designated campaign treasurer or deputy treasurer, signed in the presence of a notary public
- An affidavit, signed by the candidate in the presence of a notary public, in which said candidate agrees to abide by the campaign finance laws of the State of Rhode Island and the Rules and Regulations established by the Board of Elections.

2.2 Appointment or Removal of Treasurers

A candidate may appoint or remove a campaign treasurer or deputy treasurer at any time. Each time a candidate appoints or removes a campaign treasurer or deputy treasurer, he or she shall file a new "Notice of Organization" (Form CF-1) with the Board of Elections indicating the amendment. [See §17-25-8]

A candidate may be his or her own treasurer or deputy treasurer. A candidate may also appoint multiple deputy treasurers. The names and addresses of these campaign treasurers shall also be filed on the "Notice of Organization" (Form CF-1). However, a candidate who fails to designate a campaign treasurer on the "Notice of Organization" (Form CF-1) shall be deemed to be the treasurer by the Board of Elections. A person may also serve as the campaign treasurer or deputy treasurer for one or more candidates. [See §17-25-8]

In the event of the death, resignation or removal of a campaign treasurer, the candidate must appoint a successor as soon as practicable and shall file a new "Notice of Organization" (Form CF-1) with the Board of Elections within ten (10) days. If a candidate fails to file the appropriate "Notice of

Organization" (Form CF-1) within the time frame prescribed by law, the board shall immediately deem the candidate to be the campaign treasurer until said "Notice of Organization" (Form CF-1) is received by the Board. [See § 17-25-8(c)]

2.3 Responsibilities of a Candidate

Notwithstanding the appointment of a campaign treasurer, a candidate shall be responsible for any contributions accepted or expenditures made on behalf of his or her organization, as well as for any reports required to be filed or the contents and supporting documentation of the reports filed with the Board of Elections. Further, the candidate shall bear full responsibility for the activities of his or her campaign and the campaign's treasurer and deputy treasurer(s), including the payment of fines, fees or penalties. [See §17-25-13(c)]

The candidate shall bear full responsibility for notifying the Board of Elections of any changes of address by amending its "Notice of Organization" (Form CF-1), and that the failure to inform the Board of said change(s) shall not absolve the candidate of his or her responsibilities under the law or rules of the Board.

2.4 Candidates and the Rhode Island Ethics Commission

The general assembly established an independent non-partisan Ethics Commission that adopted a code of ethics including, but not limited to, provisions on conflict of interest, confidential information, use of position, contracts with government agencies and financial disclosure. All elected and appointed officials and employees of the state and local government, of boards, commissions and agencies are subject to the code of ethics. The Ethics Commission has the authority to investigate violations of the code of ethics and to impose penalties, as provided by law; and the Commission has the power to remove from office officials who are not subject to impeachment.

2.4.1 Candidate Financial Disclosure-Rhode Island Ethics Commission

In addition to the filing requirements for candidates pursuant to the Rhode Island Campaign Contributions and Expenditures Reporting Act, candidates for elective public office, except those candidates for moderator and clerk of a voting district of the cities and towns, must file a **"Financial Disclosure Statement" (Form FS-1)** with the **Rhode Island Ethics Commission** within thirty (30) days of filing declaration of their candidacy. The Commission shall grant an extension for good cause shown of not more than fifteen (15) days, provided a request for an extension is received prior to the filing deadline for the Financial Disclosure Statement. [See §36-14-16 (c)]

The Ethics Commission will forward Financial Disclosure Statement Forms to each new candidate shortly after the candidacy filing deadline.

The failure to file a Financial Disclosure Statement by a state or municipal elected or appointed official is a violation of the law and may subject the official to penalties, including fines.

The filing of the Financial Disclosure Statement with the Ethics Commission is independent of any requirements imposed upon candidates by other governmental agencies.

Additional information regarding Financial Disclosure is available on the Ethics Commission website, www.state.ri.us/ethics, or by contacting the Commission.

2.5 Candidates and RI Division of Taxation

The RI General Assembly enacted into law R.I.G.L. §44-11.1-2, which imposed an income tax of 7.5% on Political Organizations with more than \$100 of federal taxable income, effective June 25, 2010.

Political Organizations that are subject to this tax are those defined under section 527 of the Internal Revenue Code.

Please refer to the RI Division of Taxation website, www.tax.ri.gov, for guidance.

3.0 DUTIES OF A POLITICAL PARTY COMMITTEE

3.1 Notice of Organization

Each state and municipal committee of a political party shall, on or before January 31 in each calendar year, designate or reaffirm a Chairperson and Treasurer and shall file a "Notice of Organization" (Form CF-1) with the Board of Elections documenting their names and addresses. [See §17-25-9(a)]

The Notice of Organization shall contain:

- The name of the Political Party Committee
- Key #
- Street and mailing addresses
- Contact information
- The name, address, contact information and notarized signature of the appointed, designated or reaffirmed Treasurer or Deputy Treasurer
- An affidavit signed by the Chairperson in the presence of a notary public, in which said Chairperson agrees to abide by the campaign finance laws of the State of Rhode Island and the Rules and Regulations established by the Board of Elections.

3.2 Appointment or Removal of Treasurers

The campaign treasurer of a political party committee may appoint deputy campaign treasurers as may be required. The political party committee shall file a "Notice of Organization" (Form CF-1) with the Board of Elections documenting the names and addresses of all appointed deputy treasurers. [See §17-25-9(b)]

A political party committee may remove at any time its campaign treasurer. In the case of death, resignation or removal of its campaign treasurer, any committee shall appoint a successor as soon as practicable and file a "Notice of Organization" (Form CF-1) with the Board of Elections documenting his or her name and address within ten (10) days of said appointment. [See § 17-25-9(c)]

3.3 Annual Report

Each state and municipal committee of a political party shall file with the Board of Elections, not later than March 1 of each year, an annual "Summary of Campaign Activity" (Form CF-2) setting forth in the aggregate all contributions received and all expenditures made during the previous calendar year, whether or not these expenditures were made, incurred, or authorized in furtherance of the election or defeat of any candidate. The treasurer of the committee or organization reporting shall certify to the correctness of each report. [See §17-25-7(b)]

4.0 DUTIES OF A POLITICAL ACTION COMMITTEE (PAC)

4.1 Notice of Organization

No Political Action Committee shall accept any contributions nor make any expenditure prior to filing its "Notice of Organization" (Form CF-1) with the Board of Elections. [See §17-25-15(a)]

The "Notice of Organization" shall contain:

1. The proposed name of the committee
2. The mailing address or addresses of the committee
3. The name, address, contact information and notarized signature of the appointed or designated treasurer or deputy treasurer
4. An affidavit signed by the Chairperson in the presence of a notary public, in which said Chairperson agrees to abide by the campaign finance laws of the State of Rhode Island and the Rules and Regulations established by the Board of Elections
5. The names and addresses of all officers of the committee
6. The identity of any candidates or offices whose election or defeat the committee intends to advocate
7. The goals and purposes of the committee, and
8. A statement indicating whether the membership and/or contributor base of the committee is derived primarily from the employees of one corporation or business entity or from one business or professional group or association or labor union, and, if so, the identity of that employer or group or association or union.

If a political action committee derives more than fifty percent (50%) of its funds from the employees, officers, directors, investors, and/or stockholders of a corporation or other business entity, the name of the political action committee must incorporate the name of that corporation or entity. [See 17-25-15(e)]

Likewise, if a political action committee derives more than fifty percent (50%) of its funds from persons affiliated with one industry, profession, trade organization or association, or labor union, the name of the political action committee must identify that industry, profession, trade organization or association, or labor union. [See §17-25-15(e)]

No political action committee shall advocate the election or defeat of any candidate other than that set forth in its "Notice of Organization" (Form CF-1), or amendment to the notice. A political action committee may amend its "Notice of Organization" (Form CF-1) at any time. [See §17-25-15(b)]

The Board of Elections may reject the use by a political action committee of a name that is misleading and/or does not accurately identify the membership or contributor base of the committee. [See §17-25-15(d)]

4.2 Appointment or Removal of Treasurers

Each political action committee shall appoint one treasurer before receiving any contribution or expending any money for the purpose of advocating the election or defeat of any candidate. [See §17-25-8.1(a)]

A committee may appoint or remove a Treasurer or Deputy Treasurer at any time. Each time a committee appoints or removes a Treasurer or Deputy Treasurer, a Notice of Organization (Form CF-1) shall be filed with the Board of Elections indicating the amendment. [See §17-25-8.1(b); §17-25-8.1(c)]

In the event of death, resignation or removal of a Treasurer or Deputy Treasurer, a successor must be appointed as soon as practicable and the committee shall file a new Notice of Organization (Form CF-1) within ten (10) days of the change. [See §17-25-8.1(c)]

5.0 DUTIES OF CAMPAIGN TREASURERS

5.1 Record Keeping

The treasurer or deputy treasurer, as indicated on the "Notice of Organization" (Form CF-1), must file with the Board of Elections reports of contributions received and expenditures incurred in furtherance of the nomination or election of a candidate, and must continue to file reports of contributions received and expenditures incurred following the election, so long as the campaign has not filed an "Affidavit Dissolving Campaign Account" (Form CF-7) with the Board of Elections.

The campaign treasurer of each candidate seeking nomination for election or election to public office, and the treasurer of each political action committee and political party committee, shall maintain and preserve all records and supporting documentation for a period of four (4) years, commencing with the date the affidavit, notice, or report was filed. [See §17-25-11.1(a); §17-25-11.1(b)]

5.1.1 Depository Account

For all candidates, officeholders, political party committees and political action committees, the name of the depository (i.e. Bank, Credit Union) used to deposit campaign receipts and pay campaign expenses must be identified on the organization's "Notice of Organization" (Form CF-1). In the event the depository changes, the Board of Elections must be notified via a new "Notice of Organization" (form CF-1) within ten (10) business days of the change. The accounting of campaign receipts and expenditures must be kept separate and distinct from any other receipts and expenditures.

5.2 Who May Receive Contributions or Expend Funds

No contribution shall be made or received, and no expenditures shall be directly made or incurred, to support or defeat a candidate except through the duly appointed campaign treasurer, or deputy campaign treasurer(s), of the candidate, political party committee, or political action committee. [See §17-25-10]

5.3 Resignation of a Treasurer or Deputy Treasurer

A treasurer or deputy treasurer of any campaign or committee may resign his or her position by filing a letter of resignation directly with the Board of Elections. In this case, the Board shall, within two (2) business days of the receipt of said letter, notify the candidate, or in the case of a political action committee or political party committee, the chairperson, of the treasurer's resignation. The candidate, political action committee or political party committee shall appoint a successor as soon as practicable and file a "Notice of Organization" (Form CF-1) with the Board of Elections documenting the new treasurer's name and address within ten (10) days of said appointment.

6.0 CAMPAIGN FINANCE REPORTS & SCHEDULES

The Rhode Island Campaign Contributions & Expenditures Reporting Act ("Act") requires that treasurers of candidates, political action committees and political party committees file reports of campaign activities with the Board of Elections ("Board") in accordance with a reporting schedule prescribed herein.
[See §17-25-11]

6.1 Persons Authorized To File

Regardless of whether a report is submitted and received at the Board, any report that is signed by someone other than the person(s) designated on the "Notice of Organization" (Form CF-1) on file at the Board shall be returned to the candidate and deemed not filed.

6.2 Campaign Finance Forms

The following is an explanation of various paper forms to be submitted to the Board of Elections.

Refer to *Appendix A* for a copy of each campaign finance form and related instructions.

Form Name	Form Number	Manner of Filing
Notice of Organization	CF-1	This form is used to register a candidate, officeholder, political party committee or PAC with the Board; and/or to appoint/designate or change a campaign treasurer and deputy treasurer(s).
Summary of Campaign Activity	CF-2	This form documents a campaign account's Beginning Cash Balance as of the beginning of a specific reporting period, total contributions and receipts received minus total expenditures and disbursements made during the same reporting period, yielding an Ending Cash Balance as of the period ending date. (Note: The Ending Cash Balance for any report ending period becomes the Beginning Cash Balance for the next following reporting period.)
Schedule of Contributions Received	CF-3	This form is used to list individual and aggregate contributions and receipts received during a specific reporting period, as reported on a Summary Campaign Activity (Form CF-2).
Schedule of Expenditures	CF-4	This form is used to list individual and aggregate expenditures and disbursements made during a specific reporting period, as reported on a Summary of Campaign Activity (Form CF-2).

Affidavit for Annual Filing Exemption	CF-5	This affidavit, when filed, exempts a campaign finance treasurer from filing the scheduled periodic reports of contributions received and expenditures made for a specific report year. Thereafter, a Summary of Campaign Activity (CF-2); a Schedule of Contributions Received (CF-3); and a Schedule of Expenditures (CF-4) must be filed no later than the last day of the month next following the end of the reporting year to report any campaign finance activity occurring within said reporting year.
Affidavit Dissolving Campaign Account	CF-7	This affidavit, when filed, by a campaign treasurer, certifies that there are no remaining campaign funds, the campaign has completed its business and is thereby dissolved.
Schedule of Independent Expenditures	CF-8	This form is used by any person, acting independently, that has expended more than \$100.00 in the aggregate within a calendar year to support or defeat a candidate.

Candidates shall be required to submit reports in the manner prescribed by the Board. Reports shall not be accepted if they are received in any manner other than as original documents, bearing original signatures, or as required, bearing notarized original signatures.

NOTE: Copies, facsimiles and other electronically submitted forms shall be deemed not submitted.

6.3 Electronic Filing

See the *ERTS User Manual* for more information on electronic filing of campaign finance reports.

6.4 Reporting Schedules

The **2011 Reporting Schedule** for political action committees, political party committees, and candidates/officeholders with on-going campaigns **NOT** participating in a primary or election, is as follows:

Candidates, Officeholders, PACs and Parties <u>NOT</u> Participating in a Primary or Election in 2011		
Report Name	Reporting Period	Report Due By
On-Going Quarterly (1 st)	January 1 – March 31	May 2
On-Going Quarterly (2 nd)	April 1 – June 30	August 1
On-Going Quarterly (3 rd)	July 1 – September 30	October 31
On-Going Quarterly (4 th)	October 1 – December 31	January 31, 2012

A Campaign Finance Report generally consists of a "Summary of Campaign Activity" (Form CF-2); a "Schedule of Contributions Received" (Form CF-3) and a "Schedule of Expenditures" (Form CF-4).

Unless specified otherwise by a Filing Schedule put forth by the Board of Elections, the On-Going Quarterly reports are due no later than the last day of the month next following the end of the reporting period. Provided, however, if the last day of the month falls on a weekend or a holiday, the report shall be due the following business day. In a contested election, reports required to be filed before and after the primary and election are due by the date next following the end of the reporting period. [See §17-25-11(c)]

Political action committees and political party committees are required to file On-Going reports at ninety (90) day intervals [See §17-25-11(a)(1)], provided however that a political action committee or political party committee contributing to a candidate or candidates in a contested election are deemed to be participating in said election and are thereby required to file reports in accordance with the filing schedule for candidates in an election, commencing with the first reporting period in which the contribution to the candidate or candidates in a contested election was made. [See §17-25-11(a)(2)]

Note: For campaigns involved in a special or off-year election in 2011, please contact the Board of Elections or visit our web site at <http://www.elections.ri.gov> for the appropriate reporting schedule.

6.4a Annual Filing Exemption

Notwithstanding the reports detailed above, the treasurer for a candidate or officeholder, political action committee or political party committee may elect to file an "Affidavit For Annual Filing Exemption" (Form CF-5), whereby said treasurer certifies that he or she will accept no contributions in excess of one hundred dollars (\$100.00) in the aggregate from a single source within the calendar year, **including contributions or loans that a candidate may make to his or her own campaign**, nor make aggregate expenditures in excess of one thousand dollars (\$1,000.00) within the calendar year. If this affidavit is filed, the treasurer is exempt from filing the scheduled periodic or quarterly reports of campaign contributions and expenditures. [See §17-25-11(e)]

The "Affidavit For Annual Filing Exemption" (Form CF-5) must be filed by the due date of the first report scheduled for a campaign.

The campaign treasurer shall file a summary Campaign Finance Report for 2011, due by January 31, 2012, consisting of a "Summary of Campaign Activity" (Form CF-2), a "Schedule of Contributions Received" (Form CF-3) and a "Schedule of Expenditures" (Form CF-4) to report all campaign contributions and expenditures for the entire calendar year.

After executing the "Affidavit For Annual Filing Exemption" (Form CF-5), a candidate, officeholder, political action committee or political party committee who in the calendar year accepts contributions in excess of one hundred dollars (\$100.00) in the aggregate from a single source or incurs aggregate expenditures in excess of one thousand dollars (\$1,000.00), shall immediately commence filing the required periodic or quarterly reports, with the first such report due by the due date of the scheduled reporting period in which the contribution and expenditure thresholds were exceeded.

6.4b Dissolving a Campaign Account

Any campaign having completed its business and having no remaining campaign funds may elect to dissolve by having its treasurer file an "Affidavit Dissolving Campaign Account" (Form CF-7). [See §17-25-11(b)]

However, any campaign, having been dissolved, but whose officeholder subsequently raises or expends funds to hold or maintain his or her elected office, must be reactivated by filing a new "Notice of Organization" (Form CF-1), and must file campaign finance reports, commencing with the period in which campaign funds were raised or expended.

Moreover, any campaign having completed its business and having no remaining campaign funds will, nonetheless be considered "Active", and required to file campaign finance reports according to a Reporting Schedule

prescribed by the Board of Elections, until such time as an "Affidavit Dissolving Campaign Account" (Form CF-7) is filed by its treasurer.
[See §17-25-11(c)]

Any campaign filing an "Affidavit Dissolving Campaign Account" (Form CF-7), shall, as a result, forgive as uncollectible any Loans Payable or Accounts Payable balance remaining at the time of dissolution, regardless of whether said campaign account is subsequently re-activated. (Note: Any accounts payable balance outstanding at the time a campaign is dissolved shall become the personal obligation of the candidate.)

6.4c Amendments To Reports

When a campaign finance report submitted to the Board of Elections is incomplete or inaccurate, the board shall notify the filer, who, in turn shall amend said report as directed.

Unless otherwise directed by the Board of Elections, a filer may amend a campaign finance report at any time information is incomplete or inaccurate.

In the event an amended report is filed for a period, it may be necessary to amend subsequent reports if there was any change to the beginning or ending cash balances.

Please refer to **Rules and Regulations for Contributions and Expenditures Reporting** (Appendix D).

6.5 Filing Deadlines

The deadline for the receipt of paper reports, other than those filed electronically using ERTS, will be 4:00 p.m. on the date the report is due. The deadline for the receipt of reports using ERTS will be 11:59 p.m. on the date the report is due.

6.5.1 "In-Person" & By Mail Filings

Reports sent through the United States Postal Service, or any alternate mail delivery service, shall be timely filed if they bear a postmark date no later than the date upon which the report was due. Reports presented "in-person" shall be considered filed when the original documents bearing original signatures is received at the Board of Elections.

6.6 Filing Extensions

A candidate or treasurer may, for good cause shown and upon the submission of a written or electronic communication to the Board, request an extension for filing a report. A request for a filing extension must be executed in conformance with the requirements stated herein and be **received** no later than 4:00 p.m. on the date upon which the report is due to be filed. [See §17-25-11(g)(1)]

Requests for filing extensions, unlike reports, will be accepted if transmitted via e-mail or facsimile to the Board.

6.6.1 Filing Extension Schedule

The following table illustrates the maximum filing extension allowed:

FILING EXTENSION SCHEDULE	
Report Type	Maximum Extension Allowed
On-Going Quarterly Reports	7 Days
28 Days Before Primary	3 Days
7 Days Before Primary	None
28 Days After Primary	7 Days
28 Days Before Election	3 Days
7 Days Before Election	None
28 Days After Election	7 Days

Note: An extension for filing a campaign finance report will not be granted if the candidate or officeholder, political action committee, or political party committee has any outstanding reports or fines.

6.6.2 Required Information for Filing Extension

In requesting a filing extension, the filer's name, address and telephone number; the name of the committee; the report for which an extension is being sought; the reason for requesting the extension; and the mailing address, e-mail address or facsimile number to which the Board may forthwith communicate its response to the filer's extension request. Extension requests that are not submitted as indicated, will not be considered.

6.6.3 Response to Request For Filing Extension

Upon the receipt of an extension request executed in conformance with the requirements stated herein, the Board will, forthwith, approve or reject said extension request and notify the filer of its decision.

a) Approval of Extension Request.

In the event an extension is approved, the report due date will be extended for the amount of days requested or as illustrated in the "Filing Extension Schedule" shown above, whichever is lesser. If said report is not filed within the extension period, the report will be deemed delinquent. (See "Delinquent Reports")

b) Rejection of Extension Request.

If a filer's request for an extension has been submitted and shall have been rejected, the report for which the extension was requested shall be required to be filed by the report's initial due date. A report for which an extension request was rejected shall be deemed to be delinquent upon the passing of the deadline for which the report is due. (See "Delinquent Reports")

NOTE: It is the responsibility of the filer to submit a request for an extension in conformance with the requirements stated herein on a timely basis and, at the time of filing said request, to inform the Board of the address or facsimile number to which the response should be sent and the manner of communication (letter, e-mail or facsimile) in which the Board may forthwith communicate its response to the filer's request.

7.0 ELECTRONIC FILING

All candidates and committees who are either required or elect to file reports electronically with the Board of Elections must do so via the **Electronic Reporting & Tracking System (ERTS)** according to the instructions and procedures adopted by the Board. [See §17-27-7.6(c)]

Any candidate or committee not required or electing to file campaign reports electronically via ERTS, must nonetheless, continue to file campaign reports using paper forms prescribed by the Board.

7.1 Candidates

Candidates are defined into two groups: Those who are running for Governor, Lieutenant Governor, Attorney General, Secretary of State or General Treasurer (General Office Candidates) and all others (Non-General Office Candidates). The electronic reporting requirements are defined below.

7.1.1 General Office

Any candidate for general office is required to file his or her campaign reports electronically via ERTS. [See §17-25-7.6 (a)(1)]

7.1.2 Non-General Office

All candidates for public office who raise or expend more than ten thousand dollars (\$10,000.00) annually, or whose report shows a balance of twenty-five thousand dollars (\$25,000.00) or more in their campaign fund, shall be required to file their campaign finance reports electronically beginning with the second quarterly reporting period in 2008. [See §17-25-7.6 (a)(2)]

Any candidate not required to file his or her campaign finance report electronically, may elect to file it electronically. [See §17-25-7.6 (a)(2)]

7.1.3 Matching Public Funds

All general office candidates who participate in the matching public funds program will submit their requests electronically using the Board's Electronic Reporting & Tracking System (ERTS).

NOTE: See the *Matching Public Funds Manual* for further details.

7.2 Political Party Committee

All political party committees, including state political party committees, who raise or expend more than ten thousand dollars (\$10,000.00) annually, or whose report shows a balance of twenty-five thousand dollars (\$25,000.00) or more in their campaign fund, are required to file their campaign finance reports electronically via ERTS. [See §17-25-7.6 (a)(2)]

7.3 Political Action Committee

Political action committees that raise or expend more than ten thousand dollars (\$10,000.00) annually, or whose report shows a balance of twenty-five thousand dollars (\$25,000.00) or more in their campaign fund are required to file their campaign reports electronically via ERTS. [See §17-25-7.6 (a)(3)]

7.4 Electronic Signatures

The execution of any document filed using ERTS that would otherwise be required to be signed and/or notarized will be accepted electronically by the Board (A "Notice of Organization" may be submitted through ERTS but a completed paper Form CF-1 with original notarized signatures, must be delivered to the Board), and the execution of said document(s) will represent the signatures of said parties indicated on the "Notice of Organization" (Form CF-1) on file with the Board.

8.0 NON-COMPLIANCE & PENALTIES

8.1 Delinquent Reports

Any report required to be filed with the Board of Elections on behalf of a candidate, officeholder, political action committee, or political party committee pursuant to §17-25 and which was not filed by the date and time required shall be deemed delinquent resulting in a fine of twenty-five dollars (\$25.00).

[See §17-25-11(g)(2)]

A candidate or officeholder, political action committee or political party committee who shall have been granted a filing extension by the Board of Elections and who shall not have filed the report by the end of the extension period shall be deemed delinquent, resulting in a fine of twenty-five dollars (\$25.00).

8.2 Notice Of Non-Compliance & Penalties

The Board of Elections shall send a "Notice of Non-Compliance" via certified mail to the candidate or officeholder, or in the case of a PAC or political party committee, the treasurer or chairperson, when a report has been deemed delinquent. Upon receipt of the "Notice of Non-Compliance", the candidate or officeholder, or in the case of a political action committee or political party committee, the treasurer or chairperson, shall have seven (7) days to pay the late filing fine of twenty-five dollars (\$25.00) and file the required report, provided the report is still outstanding. [See §17-25-11(g)(3)]

A candidate or officeholder, political action committee or political party committee who fails to remit payment and who fails to file the required report within seven (7) days of the receipt of the "Notice", shall be fined an additional two dollars (\$2.00) per day from the date of receipt of the "Notice" until the day the report has been received by the Board and any outstanding fines paid.

Any person or entity who has been sent a Notice of Non-Compliance via certified mail and who does not claim or sign the return receipt of said Notice, will nonetheless be fined an additional two dollars (\$2.00) per day, with the additional fine commencing fourteen (14) days after the date upon which the Notice of Non-Compliance was sent.

Solely for the purpose of assessing fines which are calculated on a daily basis, pursuant to §17-25-11(g)(3), and which are paid by mail, the postmark date shall be used to determine the date of receipt and the amount of the fine assessed and owed.

8.3 Payment Of Fines, Fees and Penalties

The payment of fines, fees and penalties imposed by the state board for violations of §17-25 shall be paid by the candidate, officeholder or entity against whose campaign the fines, fees and penalties have been levied. Fines, fees and penalties levied by the state board pursuant to §17-25 shall not be paid for from contributions or funds available in a campaign account. [See §17-25-13(c)]

Fines may be paid either in-person or by mail and the method of payment accepted shall be cash, check or money order only. Money orders or checks shall be made payable to: "State of Rhode Island – Internal Service Fund".

8.4 Appeals Of Fines

The Board of Elections shall have the authority to waive late filing fines for good cause shown. [See §17-25-11(g)(2,3)]

Please refer to **Rules and Regulations for the Appealing of Late Fines** (Appendix D).

9.0 CONTRIBUTIONS

A contribution is anything of value given to influence an election. Contributions include all transfers of money, credit or debit card transactions on-line or electronic payment systems such as "Pay Pal", paid personal services, or other things of value given to any candidate, political party committee, political action committee or ballot question advocate. A loan shall be considered a contribution of money until repaid. [See §17-25-3(3)]

- **"Paid personal services"** are personal services of every kind and nature, the cost or consideration for which is paid or provided by someone other than the committee or candidate for whom the services are rendered, but do not include personal services provided without compensation by persons volunteering their time [See §17-25-3(8)];
- **"Other thing of value"** means any items of tangible real or personal property of a fair market value in excess of \$100 [See §17-25-3(7)];
- **"In-kind contribution"** means the monetary value of other things of value or paid personal services donated to any person required to file reports with the Board of Elections. [See R.I.G.L §17-25-3(6)]

9.1 Reporting Contributions

Each campaign treasurer of a candidate, each state and municipal committee of a political party, and each political action committee shall keep accurate records and make a full report, upon a "Schedule of Contributions Received" (Form CF-3), of all contributions received. The Receipt Date of a contribution determines in which report the transaction appears.

9.2 Limitations On Contributions

No individual or political action committee shall make a contribution or contributions, including allowable in-kind contributions, to any candidate or officeholder, political action committee or political party committee, which in the aggregate exceeds one thousand dollars (\$1,000.00) within a calendar year. [See §17-25-10.1(a)(1)]

No individual shall make contributions, including allowable in-kind contributions, to more than one candidate or officeholder, to more than one political action committee, or to more than one political party committee, or to a combination of candidates or officeholders, political action committees and political party committees which in the aggregate exceed ten thousand dollars (\$10,000.00) within a calendar year. [See §17-25-10.1(a)(1)]

No political action committee shall make contributions, including allowable in-kind contributions, to more than one candidate or officeholder, to more than one political action committee, or to more than one political party committee,

or to a combination of candidates or officeholders, political action committees and political party committees which in the aggregate exceed twenty-five thousand dollars (\$25,000.00) within a calendar year. [See §17-25-10.1(a)(1)]

No candidate or officeholder, political action committee or political party committee may accept a contribution or contributions, including allowable in-kind contributions, which in the aggregate exceed one thousand dollars (\$1,000.00) within a calendar year from any one individual or political action committee. [See §17-25-10.1(a)(1)]

A political party committee or political party committees may not make a contribution or contributions to a candidate of that political party which in the aggregate exceeds twenty-five thousand dollars (\$25,000.00) within a calendar year. However, there shall be no restriction on the amount of in-kind contributions a political party committee or political party committees may make to a candidate of that political party provided, however that for the purposes of this section only, the cost and preparation and airing of television and/or radio advertisements and the cost of any print advertisements shall not be considered an allowable "in-kind" contribution and shall be subject to the aforementioned aggregate limitation of twenty-five thousand dollars (\$25,000.00). Notwithstanding the above, the political party committee and the candidate must continue to report such contributions. [See §17-25-10.1(e)]

Notwithstanding the limits specified above, a person or political action committee or political party committee may contribute an amount which in the aggregate does not exceed ten thousand dollars (\$10,000.00) within a calendar year to all committees of a political party combined, which funds can be utilized for organizational and party building activities, but shall not be used for contributions to candidates state and local for public office. [See §17-25-10.1(a)(2)]

No candidate or officeholder shall accept a contribution or contributions which in the aggregate exceeds one thousand dollars (\$1,000.00) within a calendar year from any one individual or political action committee. [See R.I.G.L 17-25-10.1(a)]

However, a candidate may make a contribution or contributions in excess of the one thousand dollar (\$1,000.00) annual limit to his or her own campaign, and nothing herein shall be construed to restrict the amount of money that a candidate can borrow in his or her own name and, subsequently, contribute or loan to his or her own campaign. [See §17-25-10.1(g)]

9.2.1 Contributions from Dependent Children

A contribution from an individual's "dependent child" shall be deemed a contribution from the individual for purposes of determining whether aggregate contributions exceed either the one hundred dollar (\$100.00) threshold for reporting purposes or the one thousand dollar (\$1,000.00)

maximum for contributions to a single candidate or political action committee or ten thousand dollar (\$10,000.00) maximum for contributing to all candidates and political action committees within a calendar year. No dependent child shall contribute an amount which, when added to contributions already made by that child's parent or legal guardian and by other dependent children of that parent or legal guardian, exceed the one thousand dollar (\$1,000.00) maximum for contributions to a single candidate or political action committee or exceed the ten thousand dollar (\$10,000.00) maximum for contributions to all candidates, political action committees and political party committees within a calendar year. [See R.I.G.L 17-25-10.1(f)]

- "Dependent child" is defined in §36-14-2 as a person's natural child, adopted child or stepchild if such person, during any calendar year, provides over 50% of the child's support during such calendar year.

It shall be the responsibility of the candidate, political action committee or political party committee receiving contributions to ascertain whether any individual contributor is the "dependent child" of another person so as to be able to determine whether such other person is to be chargeable for contributions made by such dependent child. In addition to maintaining records of the name, address and place of employment of all contributors, candidates, political action committees and political party committees should also maintain records indicating a contributor's status as a dependent child.

A contribution to a named candidate made to any political committee authorized by that candidate to accept contributions on his or her behalf shall be considered to be a contribution made to the candidate. Contributions to a candidate by a political committee for another person shall be considered to be contributions by that person. [See R.I.G.L 17-25-10.1 (b)]

Expenditures made by any person in cooperation, consultation or concert with, or at the request or suggestion of, a candidate or his or her authorized political committees or agents shall be considered contributions to that candidate. [See R.I.G.L 17-25-10.1(c)]

The payment or financing by any person of the dissemination, distribution, republication, in whole or in part, of any broadcast or any written, graphic or other form of campaign materials prepared by the candidate, his campaign committees or their authorized agents shall be considered a contribution to the candidate. [See R.I.G.L 17-25-10.1(d)]

9.3 CONTRIBUTIONS MADE & RECEIVED IN EXCESS OF THE ALLOWABLE ANNUAL CONTRIBUTION LIMITS

The Board has established a schedule of fines and penalties for those contributions made and received by individuals, candidates/officeholders and entities in accordance with the Rhode Island Campaign Contributions & Expenditures Reporting Act ("Act") and which exceed the allowable annual contribution limits permitted by the Act.

Refer to **Policy on Fines and Penalties for Contributions Made & Received in Excess of the Allowable Annual Contribution Limits** (Appendix D).

9.4 Transaction Types

There are eight (8) transaction types by which a campaign may receive contributions: Cash, Check, Money Order, Credit/Debit Card, Electronic Pay System, In-Kind, Loan and Other. Each transaction type is discussed below.

9.4.1 Cash

Campaigns may accept cash contributions that do not exceed twenty-five dollars (\$25) in the aggregate from an individual within a calendar year, and such cash contributions must be delivered directly by the donor to the campaign treasurer or deputy treasurer, or candidate if he or she is appointed as the treasurer or deputy treasurer. The campaign treasurer or deputy treasurer shall maintain records of the name and address of all persons making such cash contributions. Except as provided herein, all other cash contributions are prohibited. [See §17-25-10.1(i)]

9.4.2 Check, Money Order, Credit/Debit Card and via Electronic Pay System

Contributions of funds may be by check, money order, or credit or debit card and may be made over the Internet and via electronic payment systems such as "PayPal", but in each case the original source of funds must be identified [See §17-25-10.1(i)]: provided, however, that candidates may accept cash contributions under the limits and conditions specified in a previous section.

9.4.3 In-Kind

An In-Kind contribution is the monetary value of paid services, or other things of value donated to any person required to file reports with the Board of Elections. The value of an in-kind contribution is determined by the fair market value or prevailing commercial rate of the goods, services or other thing of value contributed. Moreover, an expenditure made by any person in cooperation, consultation or concert with, or at the request or suggestion of, a candidate's campaign is also considered an in-kind contribution to the candidate.

9.4.3.1 Limits On In-Kind Contributions

The value of an allowable in-kind contribution counts towards the aggregate annual contribution limits specified herein. However, there shall be no restriction on the amount of in-kind contributions a political party committee or political party committees may make to a candidate of that political party. However, for the purposes of this section, the cost and preparation and airing of television and/or radio advertisements and the cost of any print advertisements shall not be considered an allowable "in-kind" contribution and shall be subject to the aforementioned aggregate limitation of twenty-five thousand dollars (\$25,000.00). [See §17-25-10.1(e)]

9.4.3.2 Donor Required To Notify Recipient Of Value Of In-Kind Contribution

Expenditures made by any person in cooperation, consultation or concert with, or at the request or suggestion of, a candidate, the candidate's authorized political committees, or their agents shall be considered to be a contribution to the candidate [See §17-25-10.1(c)]. The person is required to notify the recipient candidate or committee of the value of said in-kind contribution. However, it is the responsibility of the candidate or committee to make their "best effort" to obtain the correct value of an in-kind contribution.

9.4.4 Loan

A loan shall be considered a contribution of money until it is repaid. There shall be no restriction on the amount of money that a candidate can borrow under his or her own name, and subsequently contribute or loan to his or her own campaign. [See §17-25-10.1(g)]

9.4.5 Other

Other types of transactions by which a campaign may receive or report contributions include Interest Received, Refunds or Rebates, Other Receipts and Aggregate.

9.5 Contribution Types

For the purpose of this section, contribution types include: a contribution from an individual; a contribution from a political action committee or political party committee; aggregate contributions from individuals, political action committees or political party committees; loan proceeds; in-kind contributions from an individual, political action committee or political party committee; interest received; refunds and rebates; other receipts and matching public funds.

9.5.1 Individual

Each treasurer of a candidate, political action committee and political party committee shall be required to disclose on a "Schedule of Contributions Received" (Form CF-3) all contributions received in excess of a total of one hundred dollars (\$100.00) from any individual within a calendar year. The

schedule shall contain the name, address and place of employment of each person from whom contributions in excess of one hundred dollars (\$100.00) were received within a calendar year, the amount contributed by each person and the date(s) the contribution(s) were received. [See §17-25-11(a)(3)(i)]

9.5.1a Treasurer's Best Efforts to Obtain Contributor Place of Employment

The treasurer of any candidate, political action committee or political party committee must make his or her best efforts to obtain and maintain the information required by RI campaign finance law with respect to a contributor's place of employment. To demonstrate "best efforts", the treasurer must be able to show:

1. The campaign requested the required information in the solicitation materials that prompted the contribution, and
2. The campaign made at least one follow-up request to the contributor within 30 days of receipt of the contribution and the follow-up request must be made in writing. Campaigns must retain records of follow-up requests.

If the contributor does not respond to the follow-up request, but the campaign possesses information in its contributor records, fundraising records or prior reports filed during the same election cycle, then the committee may use that information when disclosing the contribution.

If the requested information is not received until after the contribution has been reported on a "Summary of Campaign Activity" (Form CF-2) and "Schedule of Contributions Received" (Form CF-3) for a reporting period prescribed by the Board, the treasurer must report the information by filing an amended "Schedule of Contributions Received" (Form CF-3) for that same reporting period.

Any contribution received and reported for which required information is missing and for which "best efforts" to obtain the information were not used or demonstrated must either be returned to the donor or be turned over to the State of RI-Internal Service Fund.

Note: Listing a contributor's occupation or reporting a contributor as self-employed does not meet the requirement of reporting the contributor's place of employment, unless accompanied by the address of employment.

9.5.2 Aggregate/Individual

Each treasurer of a candidate, political action committee and political party committee shall be required to disclose on a "Schedule of Contributions Received" (Form CF-3) all contributions received NOT in excess of a total of one hundred dollars (\$100.00) from any individual, political action committee and political party committee within a calendar year. [See §17-25-11] The treasurer may elect to report such contributions as an aggregate total, in

which case the name, home address and place of employment of individual contributors are not required to be reported, but must be maintained by the treasurer.

9.5.3 Political Action Committee (PAC)

Each treasurer of a candidate, political action committee and political party committee shall be required to disclose on a "Schedule of Contributions Received" (Form CF-3) all contributions received in excess of a total of one hundred dollars (\$100.00) from any political action committee within a calendar year. The schedule shall contain the name and address of each political action committee from which contributions in excess of one hundred dollars (\$100.00) were received within a calendar year, the amount contributed by each political action committee and the dates the contributions were received. [See §17-25-11(a)(3)(i)]

Contributions may only be accepted from political action committees that are registered and qualified in the State of Rhode Island. [See §17-25-10.1(j)]

9.5.3a Aggregate/Political Action Committee (PAC)

Each treasurer of a candidate, political action committee and political party committee shall be required to disclose on a "Schedule of Contributions Received" (Form CF-3) all contributions received NOT in excess of a total of one hundred dollars (\$100.00) from any political action committee within a calendar year. The treasurer may elect to report such contributions as an aggregate total, in which case the names and addresses of the political action committees are not required to be reported but must be maintained by the treasurer. [See §17-25-11].

9.5.4 Political Party Committee

Each treasurer of a candidate, political action committee and political party committee shall be required to disclose on a "Schedule of Contributions Received" (Form CF-3) all contributions received in excess of a total of one hundred dollars (\$100.00) from any political party committee within a calendar year. The schedule shall contain the name and address of each political party committee from which contributions in excess of one hundred dollars (\$100.00) were received within a calendar year, the amount contributed by each political party committee and the dates the contributions were received. [See §17-25-11(a)(3)(i)]

Contributions may only be accepted from political party committees that are authorized by the State of Rhode Island. [See §17-25-10.1(j)]

9.5.4a Aggregate/Political Party Committee

Each treasurer of a candidate, political action committee and political party committee shall be required to disclose on a "Schedule of Contributions Received" (Form CF-3) all contributions received NOT in excess of a total of one hundred dollars (\$100.00) from any political party committee within a

calendar year. The treasurer may elect to report such contributions as an aggregate total, in which case the names and addresses of the political party committees are not required to be reported but must be maintained by the treasurer [See §17-25-11].

9.5.5 Loan Proceeds

Each treasurer of a candidate, political action committee and political party committee shall be required to disclose on a "Schedule of Contributions Received" (Form CF-3) the cash receipt of any loan as Loan Proceeds with a corresponding liability of said loan as a Loans Payable. A loan is considered a contribution of money until it is repaid. Repayment on a loan reduces the amount of the contribution and the corresponding Loans Payable balance.

Any campaign accepting proceeds from a loan from someone other than a candidate to his or her own campaign, shall adhere to the annual contribution limits identified herein. There is no limit on the amount of funds a candidate may loan his or her own campaign. [See §17-25-10.1(g)]

Any treasurer of a candidate, political action committee or political party committee filing an "Affidavit Dissolving Campaign Account" (Form CF-7), shall, as a result, forgive as uncollectible any Loans Payable balance remaining at the time of dissolution, regardless of whether said campaign account is subsequently re-activated.

9.5.6 In-Kind (Individual)

Each treasurer of a candidate, political action committee and political party committee shall be required to disclose on a "Schedule of Contributions Received" (Form CF-3) the value of any good, service, or other thing of value donated by an individual; the name, address, and place of employment of the individual contributor and the date of the contribution.

9.5.7 In-Kind (Political Party Committee)

Each treasurer of a candidate, political action committee and political party committee shall be required to disclose on a "Schedule of Contributions Received" (Form CF-3) the value of any good, service, or other thing of value donated by a political party committee; the name and address of the political party committee and the date of the contribution.

9.5.8 In-Kind (Political Action Committee)

Each treasurer of a candidate, political action committee and political party committee shall be required to disclose on a "Schedule of Contributions Received" (Form CF-3) the value of any good, service, or other thing of value donated by a political action committee; the name and address of the political action committee and the date of the contribution

9.5.9 Interest Received

Each treasurer of a candidate, political action committee and political party committee shall be required to disclose on a "Schedule of Contributions Received" (Form CF-3) any interest received from having campaign funds in an interest bearing account; the source of the interest, and date the interest was received.

9.5.10 Refund/Rebate

Each treasurer of a candidate, political action committee and political party committee shall be required to disclose on a "Schedule of Contributions Received" (Form CF-3) any rebate or refund received from any previously recorded expenditure; the source of the rebate or refund, and the date the rebate or refund was received.

9.5.11 Other Receipt

Each treasurer of a candidate, political action committee and political party committee shall be required to disclose on a "Schedule of Contributions Received" (Form CF-3) any funds received from a source other than those identified above; the source of the other receipt, and the date the other receipt was received.

9.5.12 Matching Public Funds

Only general office candidates who participate in the matching funds program use this contribution type code. See the *"Campaign Finance Manual for the Public Financing of Campaigns for Candidates for General Office"* for more information.

9.6 Lawful Methods Of Contributing

This section explains the lawful methods of contributing to support or defeat a candidate.

9.6.1 Contributions Through Campaign Treasurer

No contribution may be made or received, and no expenditures shall be directly made or incurred, to support or defeat a candidate except through the duly appointed campaign treasurer or deputy campaign treasurers of the candidate, political party committee or political action committee. [See § 17-25-10.1(a)]

9.6.2 Only Individuals, PACs And Political Party Committees May Make Contributions

No entity other than an individual, a political action committee which is duly registered and qualified pursuant to the terms of this chapter, political party committee organized pursuant to Title 17 of the Rhode Island General Laws, or an authorized committee of an elected official or candidate established pursuant to this chapter shall make any contribution to or any expenditure on

behalf of or in opposition to any candidate, political action committee or political party. [See §17-25-10.1(c); §17-25-10.1(j)]

9.7 Unlawful Contributions

This section explains the unlawful methods of contributing to support or defeat a candidate.

9.7.1 Anonymous Or Third-Party Contributions

Contributions may not be made and expenditures may not be made or incurred anonymously, that is, without the identity and address of the contributor, in a fictitious name, or by one person or group in the name of another. A treasurer or candidate may not solicit or knowingly accept any such contribution. An anonymous contribution may not be used or expended. An anonymous contribution must be returned to the donor if his or her identity can be ascertained; if it cannot, the contribution shall escheat to the state of Rhode Island. [See §17-25-10(c); §17-25-12]

9.7.2 Solicitation Of Contributions From Classified State Employees

No classified employee or member of the personnel appeal board may solicit contributions for nor may he or she be solicited to contribute to any political party or campaign. Every state government officer, agent, clerk, or employee who has charge or control in any building, office, or room occupied for any state government purpose must not permit any person to enter for the purpose of making, collecting, receiving, or giving notice of any political assessment, subscription, or contribution, and no person may enter, or remain in any such facility or end or direct any letter or other notice there for the purpose of giving notice of, demanding, or collecting a political assessment, subscription or contribution. [See §36-4-53] Any person violating the provisions of §36-4-53 shall be deemed guilty of a misdemeanor under §36-4-56

9.7.3 Contributions By Corporations And Other Business Entities Prohibited

It shall be unlawful for any corporation or other business entity to make any campaign contribution or expenditure to or for any candidate, political action committee or political party committee, and it shall also be unlawful for any candidate, political action committee or political party committee to accept any such contribution from such business entity. Any contribution made in the personal name of any employee of a business entity for which the employee received or will receive reimbursement from such business entity shall be considered a contribution by said business entity, in violation of the prohibition on such contributions by business entities. [See §17-25-10.1(h)]

9.8 Refunding Contributions

Any campaign accepting a contribution or contributions from any one source in a calendar year in excess of the aggregate amount allowable shall be required to refund any amount that is in excess of the aggregate amount allowable. Further, any campaign accepting a contribution or contributions from any source that is not allowable as specified herein shall be required to refund the entire amount of the contribution or contributions. Evidence of the refund must be provided to the Board of Elections and shall consist of a copy of the front and back of the check executed to return said contribution or contributions.

Any campaign refunding a contribution or contributions received shall report said refund on a "Schedule of Expenditures" (Form CF-4) and must also disclose the date the original contribution or contributions were received. For those campaigns utilizing electronic filing, see the "ERTS" system documentation for details on how to complete this transaction.

9.9 Unused Campaign Funds

Any campaign funds not used for gaining or holding public office may be:

1. **maintained** in a campaign account;
2. **donated** to another candidate for public office, to a political action committee, or political organization, subject to the limitations of §17-25-10.1;
3. **transferred** into a newly established political action committee or ballot question advocate;
4. **donated** to charity;
5. **donated** to the state of Rhode Island; or
6. **returned** to the donor. [See §17-25-7.2]

9.10 Testimonials

No candidate for public office or any elected public office holder may accept the proceeds of any testimonial for personal use which were received after April 29, 1992, but testimonials to raise campaign funds shall continue to be lawful. [See §17-25-7.3]

9.11 Summary of Allowable and Prohibited Contributions

Please refer to **Summary Chart Of Allowable And Prohibited Contributions** (Appendix C).

10.0 EXPENDITURES

Expenditures include all transfers of money, paid personal services, or other things of value by any candidate, officeholder, political party committee, political action committee or ballot question advocate. [See §17-25-3(3)]

10.1 Disbursement Types

There are five (5) transaction types for which a candidate, political action committee or political party committee may expend funds: Campaign Expenditure; Aggregate Expenditure; Repayment of Loan; Accounts Payable; and Accounts Payable Repayment. Each disbursement type is discussed below.

10.1.2 Campaign Expenditure

Each treasurer of a candidate, political action committee or political party committee shall be required to disclose on a "Schedule of Expenditures" (Form CF-4) all expenditures incurred or made to any person or vendor in excess of a total of one hundred dollars (\$100) within a calendar year. The schedule shall contain the name and address of each person or vendor to whom expenditures in excess of one hundred dollars (\$100) were incurred within a calendar year, the amount disbursed to each person or vendor, the date the expenditure was incurred and the purpose of the expenditure. [See §17-25-11(a)(3)(iii,iv)]

10.1.3 Aggregate Expenditure

Each treasurer of a candidate, political action committee or political party committee shall be required to disclose on a "Schedule of Expenditures" (Form CF-4) all expenditures incurred or made to any person or vendor NOT in excess of a total of one hundred dollars (\$100) within a calendar year. The treasurer may elect to report such expenditures as an aggregate total, in which case the name and address of the persons or vendors are not required to be reported but must be maintained by the treasurer [See §17-25-11(a)].

10.1.4 Repayment of Loan

Each treasurer of a candidate, political action committee or political party committee shall be required to disclose on a "Schedule of Expenditures" (Form CF-4) any campaign funds disbursed to repay all or part of any loan made to the campaign.

Campaign contributions received cannot be used to repay cumulative personal loans incurred on or after April 29, 1992 by a candidate to his or her own campaign in excess of two hundred thousand dollars (\$200,000) during an election cycle. [See §17-25-7.4]

10.1.5 Accounts Payable

Each treasurer of a candidate, political action committee or political party committee shall be required to disclose on a "Schedule of Expenditures" (Form CF-4) any accounts payable incurred for goods or services received, but not paid for at the time of receipt. An example would be expenditures made by credit card. The schedule shall contain the name and address of each person or vendor to whom the accounts payable is owed, the amount owed to each person or vendor, the date the payable was incurred and the purpose of the expenditure.

10.1.6 Accounts Payable Repayment

Each treasurer of a candidate, political action committee or political party committee shall be required to disclose on a "Schedule of Expenditures" (Form CF-4) any payment of expenditures that were previously reported as accounts payable.

With respect to the reporting of expenditures in which payments are made to an individual associated with any organization required to file reports with the Board of Elections, or to the issuer of a credit or charge card who, in turn, has paid or will pay the actual provider of the good, service or other thing of value, the reporting of the name and address of the individual or issuer and the amount and purpose of the payment to the individual or issuer if in excess of one hundred dollars (\$100.00), together with the name and address of the actual provider of the good, service or other thing of value exceeding one hundred dollars (\$100.00) in total and the amount and purpose of each such expenditure shall be required. For payments made to the actual provider of the good, service or other thing of value NOT in excess of a total of one hundred dollars (\$100.00) within a calendar year, such payments may be reported as an aggregate total, in which case the name and address of the actual provider of the good, service or other thing of value is not required to be reported but must be maintained by the treasurer.

10.2 Expenditure Types

For the purpose of this section, expenditure types include: Advertising; Bank Fees; Consultant & Professional Services; Donations (Political); Donations (All Others); Employee Services; Entertainment; Food, Beverages and Meals; Fundraising Expenses; Gifts; Office Equipment & Supplies; Other; Rent & Utilities; Telephone; Travel & Lodging; Loan Payment and Refunds/Reimbursements.

10.2.1 Advertising

This expenditure type code is used when a campaign uses funds to pay for advertising. This includes, but is not limited to: printing, brochures, signs, billboards, radio and television advertising, postage and mailings.

10.2.2 Bank Fees

This expenditure type code is used when a campaign uses funds to pay bank fees associated with the campaign account(s) such as service or maintenance fees.

10.2.3 Consultant & Professional Services

This expenditure type code is used when a campaign uses funds to pay for contracted and professional services. These services include, but are not limited to: Polls & Surveys, Legal & Accounting, Campaign Consultants, etc.

10.2.4 Donations (Political)

This expenditure type code is used when a campaign uses funds to contribute to any non-Federal Rhode Island candidate or officeholder, political action committee or political party committee.

10.2.5 Donations (All Others)

This expenditure type code is used when a campaign uses funds to contribute to any Federal or non-Rhode Island candidate or officeholder; or to provide a monetary gift to any charitable organization, provided the donor does not personally benefit from the donation or receive compensation from the recipient organization.

10.2.6 Employee Services

This expenditure type code is used when a campaign uses funds to pay employees of its own organization, or to reimburse employees of its own organization for monies that were expended by them for goods, personal services, or other thing of value for the campaign.

10.2.7 Entertainment

This expenditure type code is used when a campaign uses funds for entertainment purposes, provided however that the entertainment is part of a specific campaign or officeholder activity.

10.2.8 Food, Beverages and Meals

This expenditure type code is used when a campaign uses funds to purchase food or beverages, including meals, provided however that the food, beverages or meals are purchased as part of a campaign or officeholder activity or as a part of a function that is related to the candidate's or officeholder's responsibilities, including meals between and among candidates and/or officeholders that are incurred as an ordinary and necessary expense of seeking, holding or maintaining public office, or seeking, holding or maintaining a position within the legislature or other publicly elected body.

10.2.9 Fundraising Expenses

This expenditure type code is used when a campaign uses funds to pay expenses related to a fundraising event, except for those expenses that would be otherwise reported separately as expenditure types specified herein.

10.2.10 Gifts

This expenditure type code is used when a campaign uses funds to purchase gifts of nominal value or make donations of a nominal amount for a special occasion such as a holiday, graduation, marriage, retirement or death, unless made to a member of the candidate's or officeholder's family.

10.2.11 Office Equipment & Supplies

This expenditure type code is used when a campaign uses funds to purchase office equipment and supplies used solely for the purpose of seeking, holding or maintaining office.

10.2.12 Other

This expenditure type code is used when a campaign uses funds to purchase or pay for any good, service, or other thing of value, except for any purchase or payment that would be otherwise reported separately as an expenditure type specified herein, to gain or hold public office.

10.2.13 Rent & Utilities

This expenditure type code is used when a campaign uses funds for the rental of office space or to pay utility costs associated with said rental of space, provided however that the rent and utility costs were incurred as part of a campaign or officeholder activity.

10.2.14 Telephone

This expenditure type code is used when an organization expends campaign funds on telephone charges, provided however that the telephone charges were incurred as part of a campaign or officeholder activity.

10.2.15 Travel & Lodging

This expenditure type code is used when an organization expends campaign funds on travel expenses for a candidate or officeholder, provided that the travel is undertaken as an ordinary and necessary expense of seeking, holding, or maintaining public office, or seeking, holding, or maintaining a position within the legislature or other publicly elected body. If a candidate or officeholder uses campaign funds to pay expenses associated with travel that involves both personal activities and campaign or officeholder activities, the incremental expenses that were incurred from the personal activities are to be repaid to the campaign within thirty (30) days.

10.2.16 Loan Payment

This expenditure type code is used when an organization expends campaign funds to repay all, or any portion, of a loan previously received.

10.2.17 Refunds/Reimbursements

This expenditure type code is used when an organization expends campaign funds to repay all, or any portion, of accounts payable previously incurred.

10.3 Permitted/Prohibited Uses of Campaign Funds

The law prohibits the "personal use", by any elected public office holder or by any candidate for public office, of any contributions after April 29, 1992.

- "Personal use" is defined as any use other than expenditures made for gaining or holding office and for which the candidate or officeholder would be required to pay taxes on such money. [See §17-25-7.2]


Please refer to **Policy on the Permitted/Prohibited Uses of Campaign Funds** (Appendix D).

10.4 Petty Cash Fund

The treasurer of a committee is permitted to establish a single petty cash fund by drawing a check on the committee's account in an amount that may not exceed one hundred dollars (\$100.00). The treasurer may replenish the petty cash fund from time to time provided that the total balance of the fund may never exceed one hundred dollars (\$100.00) and provided further that the fund is not replenished more than twice in any seven (7) day period.

Expenditures made from petty cash are limited to twenty-five dollars (\$25.00) per transaction and must be reported by the treasurer in the same manner as any other expenditure. The treasurer must maintain a written account of all petty cash expenditures and keep such records for four (4) years from the filing date.

APPENDIX A

	State of Rhode Island and Providence Plantations Board of Elections Campaign Finance Unit 50 Branch Avenue, Providence, Rhode Island 02904 Tel. (401) 222-2345 www.elections.ri.gov	Time Stamp (For Office Use Only)
NOTICE OF ORGANIZATION (CF-1)		
Notice of Organization for: <input type="checkbox"/> Candidate or Officeholder <input type="checkbox"/> Political Party Committee <input type="checkbox"/> Political Action Committee (PAC) (Complete Back of Form)		Purpose: <input type="checkbox"/> Initial Notice of Organization <input type="checkbox"/> Amendment to Notice of Organization <input type="checkbox"/> Change of Treasurer or Deputy Treasurer <input type="checkbox"/> Annual Political Party Treasurer's Filing
Full Name of Candidate, Officeholder, Political Party Committee, or Political Action Committee (PAC)		Key #
Street Address		City/Town, State and Zip Code
Mailing Address (if different)		City/Town, State and Zip Code
Telephone Number	Daytime Telephone Number	Fax Number E-mail Address
If a Candidate, office being sought:		
Party Affiliation, if any: <input type="checkbox"/> Democratic <input type="checkbox"/> Republican <input type="checkbox"/> Other _____		
APPOINTMENT/DESIGNATION OF TREASURER		
As a Candidate, Officeholder or Chairperson of a Political Party or PAC named herein, I hereby:		
<input type="checkbox"/> Designate as Treasurer <input type="checkbox"/> Remove as Treasurer <input type="checkbox"/> Designate as Deputy Treasurer <input type="checkbox"/> Remove as Deputy Treasurer		
the person named below, as required by law:		
Name of Treasurer/Deputy Treasurer	Telephone Number	Daytime Telephone Number Fax Number
Street Address	City/Town, State and Zip Code	E-mail Address
Mailing Address (if different)	City/Town, State and Zip Code	
x _____ Signature of Appointee Date		Subscribed and sworn before me this ____ day of _____, 20____. x _____ Notary Public
APPOINTMENT/DESIGNATION OF TREASURER (If adding or removing more than one individual)		
As a Candidate, Officeholder, or Chairperson of a Political Party or PAC named herein, I hereby:		
<input type="checkbox"/> Designate as Treasurer <input type="checkbox"/> Remove as Treasurer <input type="checkbox"/> Designate as Deputy Treasurer <input type="checkbox"/> Remove as Deputy Treasurer		
the person named below, as required by law:		
Name of Treasurer/Deputy Treasurer	Telephone Number	Daytime Telephone Number Fax Number
Street Address	City/Town, State and Zip Code	E-mail Address
Mailing Address (if different)	City/Town, State and Zip Code	
x _____ Signature of Appointee Date		Subscribed and sworn before me this ____ day of _____, 20____. x _____ Notary Public
Campaign Account Depositories:		
Name(s) of Institution(s)	Number of Accounts (Example: One, Two)	Type of Account (Example: Checking, Savings)
_____	_____	_____
_____	_____	_____
Please attach additional sheets, if necessary		
PLEASE COMPLETE BACK OF FORM		
CF-1		Rev. 06/06

CF-1

AFFIDAVIT

I, _____, agree to abide by the
(Candidate, Officeholder, or Chairperson of Political Party Committee or PAC)
campaign finance laws of the State of Rhode Island and the rules and regulations ("rules") established by the Board of Elections ("Board") including, but not limited to, the prescribed manner and format for the reporting of all contributions and expenditures.

I hereby authorize the Treasurer/Deputy Treasurer appointed herein to act on my behalf and to perform all acts necessary to comply with the campaign finance laws of this state and the rules established by the Board and that the appointee's original signature indicates my specific authorization to act on my behalf.

I understand that I, and the Treasurer/Deputy Treasurer appointed herein, shall each be issued a Personal Identification Number ("PIN") by the Board for the purpose of electronically filing reports and/or communications and that the use of said PIN shall constitute my specific authorization to act on my behalf.

I understand that all communications by the Board to either myself or the Treasurer/Deputy Treasurer shall be directed to the mailing address(es) provided herein and that I am responsible for the receipt of all correspondence mailed to said address(es). Moreover, I understand that I am responsible for notifying the Board of any changes of address and that the failure to inform the Board of said change(s) shall not absolve me of my responsibilities under the law or rules of the Board.

I understand that I will be deemed to be the Treasurer if an amended "Notice of Organization" designating a new Treasurer is not received by the Board within ten (10) days of the death, resignation or removal of the Treasurer.

Notwithstanding the above, I acknowledge that I am ultimately solely and fully responsible for the activities of my campaign and/or committee including all reporting requirements and the payment of any and all fines assessed.

x _____ Signature of Candidate, Officeholder or Chairperson of Political Party or Political Action Committee (PAC)	_____ Date	Subscribed and sworn before me this _____ day of _____, 20____.	
		X _____ Notary Public Signature	X _____ Notary Public (Print Name)

ADDITIONAL INFORMATION REQUIRED FROM POLITICAL ACTION COMMITTEE (PAC)

Name of Political Action Committee (PAC) Supporting or Opposing a Candidate (name as indicated on front of this form)

Name(s) and Address(es) of Officer(s) of Political Action Committee (PAC): (Attach additional list if necessary)

Name(s)	Title of Officer	Address	Telephone Number

Name(s) of any Candidate(s) whose election or defeat the Committee intends to advocate:

☐ Election

☐ Defeat

Name(s) of Candidate(s)

Note: Effective 7/2006, please refer to the "Rhode Island Ballot Question Advocacy and Reporting Act" (R.I.G.L. 17-25.2) for reporting requirements of Ballot Question Advocates.

("Ballot Question Advocate" means any person making an expenditure with a cumulative total that exceeds \$1,000 in a calendar year for ballot-question advocacy on a particular ballot question.)

The membership and/or contributor base of the Political Action Committee is derived from the employees of one corporation or business entity or from one business or professional group or association or labor union. ☐ Yes ☐ No

If yes, identify the employer group, association or union: _____

REPORTS MUST BE SIGNED & NOTARIZED

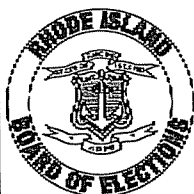
Any report not completed and/or not signed by a notary public will be returned and deemed not filed.

If you have any questions on how to complete this form, please contact the Board of Elections.

PENALTIES: Any person violating the provisions of the Rhode Island Campaign Contributions and Expenditures Reporting Act (Chapter 25 of Title 17 of the Rhode Island General Laws) shall be subject to civil and/or criminal penalties.

CF-1 Instructions

Please see reverse side for instructions on how to complete this form.



State of Rhode Island and Providence Plantations

Board of Elections

Campaign Finance Unit

50 Branch Avenue, Providence, Rhode Island 02904

Telephone No. (401) 222-2345

www.elections.rh.gov

SUMMARY OF CAMPAIGN ACTIVITY (CF-2)

Time Stamp
(For Office Use Only)

Full Name of Candidate, Officeholder, Political Party Committee, or Political Action Committee (PAC)

Organization Key #

Street Address

City/Town, State and Zip Code

Mailing Address (if different)

City/Town, State and Zip Code

Telephone Number

Daytime Telephone Number

Fax Number

E-mail Address

Reporting Period (Dates):

Amended Report

Yes No

Period Beginning:

Period Ending:

Summary of Activity for Reporting Period		Campaign Fund Status	
1. Beginning Cash Balance \$ _____ 2. Cash Receipts a. Contributions From: 1. Individuals \$ _____ 2. Political Parties \$ _____ 3. Political Action Committees \$ _____ 4. Loan Proceeds \$ _____ 5. Payroll Check Off (PAC's Only) \$ _____ b. Other Receipts \$ _____ \$ _____ \$ _____ 3. Total Cash Available (Add Lines 1 + 2a + 2b) \$ _____ 4. Cash Disbursements a. Campaign Expenses \$ _____ b. Repayment of Loans \$ _____ c. Other Disbursements \$ _____ \$ _____ \$ _____ \$ _____ 5. Ending Cash Balance (Line 3 - 4a - 4b - 4c) \$ _____ 6. Report of In-Kind Contributions \$ _____		Assets 7. Cash (Enter Amount from Line 5) \$ _____ 8. Other Assets \$ _____ \$ _____ \$ _____ 9. Total Assets (Add Lines 7 + 8) \$ _____ Liabilities and Fund Balance 10. Liabilities a. Accounts Payable \$ _____ b. Loans Payable \$ _____ c. Other Liabilities \$ _____ \$ _____ \$ _____ 11. Total Liabilities (Add Lines 10a+10b+10c) \$ _____ 12. Total Fund Balance (Line 9 - Line 11) \$ _____ 13. Total Funds Available (Line 5 - Line 11) \$ _____	
I hereby certify that this report of campaign contributions and expenditures and the supporting documents are complete, true and correct. X _____ Signature of Person Completing Report Date		_____ Print Name of Person Completing Report _____ Title of Person Completing Report	

CF-2

Rev. 06/04

CF-2

INSTRUCTIONS

The information reported is required under the Rhode Island Campaign Contributions and Expenditures Reporting Act of 1974 as amended.

Full Name of Candidate, Officeholder, Political Party Committee, or Political Action Committee (PAC) – Enter the full name of the candidate, officeholder, political party committee or political action committee as reported on the "Notice of Organization" (Form CF-1).

Organization Key # – Enter the unique number assigned to this organization by the Board of Elections.

Street Address – Enter the address of this organization as reported on the "Notice of Organization" (Form CF-1).

City/Town, State & Zip Code – Enter the City/Town, State and Zip Code as reported on the "Notice of Organization" (Form CF-1).

Mailing Address – Enter the address where mail is directed to this organization.

City/Town, State and Zip Code – Enter the City/Town, State and Zip Code where mail is directed to this organization.

Telephone Number – Enter the telephone number as reported on the "Notice of Organization" (Form CF-1).

Daytime Telephone Number – Enter a secondary telephone for this organization.

Fax Number – Enter the fax number for this organization.

E-mail Address – Enter the E-mail address for this organization.

Reporting Period (Dates) – Enter the first date of the reporting period in the "Period Beginning" field and the last date of the reporting period in the "Period Ending" field. Note: Refer to the organization's "Reporting Schedule" for the beginning and ending reporting dates.

Amended Report – If this report is a correction of a previously filed report, circle "Yes", otherwise circle "No".

Beginning Cash Balance (Line 1) – Enter the amount of total cash (on hand and in the bank) this organization has as of the first date of the reporting period. NOTE: This amount should be the same amount as the Ending Cash Balance as reported on the organization's last filed report, if applicable.

Individuals (Line 2a1) – Enter the total amount of itemized and aggregated contributions received from individuals during this reporting period.

Political Parties (Line 2a2) – Enter the total amount of itemized and aggregated contributions received from Political Parties during this reporting period.

Political Action Committees (Line 2a3) – Enter the total amount of itemized and aggregated contributions received from Political Action Committees during this reporting period.

Loan Proceeds (Line 2a4) – Enter the total amount of funds loaned to this organization during this reporting period.

Payroll Check Off (Line 2a5) – Enter the total amount of funds received via Payroll Check Off during this reporting period. NOTE: This contribution type only applies to Political Action Committees (PACs).

Other Receipts (Line 2b) – Enter the amount of funds received from sources other than those listed above. Ex: Interest Income, etc.

Total Cash Available (Line 3) – Add Lines 1, 2a, and 2b together and enter the amount on this line.

Campaign Expenses (Line 4a) – Enter the total amount of qualified itemized and aggregated campaign expenditures during this reporting period.

Repayment of Loans (Line 4b) – Enter the total amount of loans that were repaid during this reporting period.

Other Disbursements (Line 4c) – Enter the amount of funds spent for purposes other than those listed above.

Ending Cash Balance (Line 5) – Enter the total of (Line 3 – Line 4a – Line 4b – Line 4c).

Report of In-Kind Contributions (Line 6) – Enter the total of In-Kind Contributions received from individuals and committees.

Cash (Line 7) – Enter the total from Line 5.

Other Assets (Line 8) – List each asset other than cash and its monetary value on these lines.

Total Assets (Line 9) – Add Line 7 and Line 8 together and enter the amount.

Accounts Payable (Line 10a) – Enter the total amount owed by this organization but not yet paid.

Loans Payable (Line 10b) – Enter the total amount of funds previously recorded as "Loans Proceeds" that remain unpaid.

Other Liabilities (Line 10c) – Enter any other liabilities not listed on lines 10a or 10b.

Total Liabilities (Line 11) – Add Lines 10a, 10b and 10c together and enter the amount.

Total Fund Balance (Line 12) – Enter the total of (Line 9-Line 11).

Total Funds Available (Line 13) – Enter the total of (Line 5-Line 11).

Name/Title of Person Completing Report – This should be the treasurer, deputy treasurer, or the candidate, if his or her own treasurer.

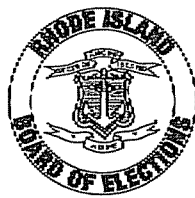
REPORTS MUST BE SIGNED

Any report not completed or signed will be returned.

If you have any questions on how to complete this form, please contact the Board of Elections.

CF-2 Instructions

Please see reverse side for instructions on how to complete this form.


**State of Rhode Island and Providence Plantations
Board of Elections**

 Campaign Finance Unit
 50 Branch Avenue, Providence, Rhode Island 02904
 Tel. (401) 222-2345
 www.elections.ri.gov

SCHEDULE OF CONTRIBUTIONS RECEIVED (CF-3)

 Time Stamp
 (For Office Use Only)

Key #	Full Name of Candidate, PAC or Party Committee				Amended Report Yes No		Reporting Period From: To:	
-------	--	--	--	--	--------------------------	--	-------------------------------	--

Item #	Transaction Type Code (see back for list of codes)	Contribution Type Code (see back for list of codes)	Receipt Date	Deposit Date	Contribution Amount																												
					\$																												
In-kind/Other Contribution Receipts Description:																																	
<table border="1"> <thead> <tr> <th colspan="5">Contributor Information</th> <th colspan="2">Employer Data</th> </tr> <tr> <th>Prefix</th> <th>First Name</th> <th>MI</th> <th>Last Name or PAC/Party Committee Name</th> <th>Suffix</th> <th colspan="2">Employer Name</th> </tr> </thead> <tbody> <tr> <td colspan="5">Street Address</td> <td colspan="2">Street Address</td> </tr> <tr> <td colspan="3">City/Town</td> <td>State</td> <td>Zip Code</td> <td>City/Town</td> <td>State Zip Code</td> </tr> </tbody> </table>						Contributor Information					Employer Data		Prefix	First Name	MI	Last Name or PAC/Party Committee Name	Suffix	Employer Name		Street Address					Street Address		City/Town			State	Zip Code	City/Town	State Zip Code
Contributor Information					Employer Data																												
Prefix	First Name	MI	Last Name or PAC/Party Committee Name	Suffix	Employer Name																												
Street Address					Street Address																												
City/Town			State	Zip Code	City/Town	State Zip Code																											

Item #	Transaction Type Code (see back for list of codes)	Contribution Type Code (see back for list of codes)	Receipt Date	Deposit Date	Contribution Amount																												
					\$																												
In-kind/Other Contribution Receipts Description:																																	
<table border="1"> <thead> <tr> <th colspan="5">Contributor Information</th> <th colspan="2">Employer Data</th> </tr> <tr> <th>Prefix</th> <th>First Name</th> <th>MI</th> <th>Last Name or PAC/Party Committee Name</th> <th>Suffix</th> <th colspan="2">Employer Name</th> </tr> </thead> <tbody> <tr> <td colspan="5">Street Address</td> <td colspan="2">Street Address</td> </tr> <tr> <td colspan="3">City/Town</td> <td>State</td> <td>Zip Code</td> <td>City/Town</td> <td>State Zip Code</td> </tr> </tbody> </table>						Contributor Information					Employer Data		Prefix	First Name	MI	Last Name or PAC/Party Committee Name	Suffix	Employer Name		Street Address					Street Address		City/Town			State	Zip Code	City/Town	State Zip Code
Contributor Information					Employer Data																												
Prefix	First Name	MI	Last Name or PAC/Party Committee Name	Suffix	Employer Name																												
Street Address					Street Address																												
City/Town			State	Zip Code	City/Town	State Zip Code																											

Item #	Transaction Type Code (see back for list of codes)	Contribution Type Code (see back for list of codes)	Receipt Date	Deposit Date	Contribution Amount																												
					\$																												
In-kind/Other Contribution Receipts Description:																																	
<table border="1"> <thead> <tr> <th colspan="5">Contributor Information</th> <th colspan="2">Employer Data</th> </tr> <tr> <th>Prefix</th> <th>First Name</th> <th>MI</th> <th>Last Name or PAC/Party Committee Name</th> <th>Suffix</th> <th colspan="2">Employer Name</th> </tr> </thead> <tbody> <tr> <td colspan="5">Street Address</td> <td colspan="2">Street Address</td> </tr> <tr> <td colspan="3">City/Town</td> <td>State</td> <td>Zip Code</td> <td>City/Town</td> <td>State Zip Code</td> </tr> </tbody> </table>						Contributor Information					Employer Data		Prefix	First Name	MI	Last Name or PAC/Party Committee Name	Suffix	Employer Name		Street Address					Street Address		City/Town			State	Zip Code	City/Town	State Zip Code
Contributor Information					Employer Data																												
Prefix	First Name	MI	Last Name or PAC/Party Committee Name	Suffix	Employer Name																												
Street Address					Street Address																												
City/Town			State	Zip Code	City/Town	State Zip Code																											

Item #	Transaction Type Code (see back for list of codes)	Contribution Type Code (see back for list of codes)	Receipt Date	Deposit Date	Contribution Amount																												
					\$																												
In-kind/Other Contribution Receipts Description:																																	
<table border="1"> <thead> <tr> <th colspan="5">Contributor Information</th> <th colspan="2">Employer Data</th> </tr> <tr> <th>Prefix</th> <th>First Name</th> <th>MI</th> <th>Last Name or PAC/Party Committee Name</th> <th>Suffix</th> <th colspan="2">Employer Name</th> </tr> </thead> <tbody> <tr> <td colspan="5">Street Address</td> <td colspan="2">Street Address</td> </tr> <tr> <td colspan="3">City/Town</td> <td>State</td> <td>Zip Code</td> <td>City/Town</td> <td>State Zip Code</td> </tr> </tbody> </table>						Contributor Information					Employer Data		Prefix	First Name	MI	Last Name or PAC/Party Committee Name	Suffix	Employer Name		Street Address					Street Address		City/Town			State	Zip Code	City/Town	State Zip Code
Contributor Information					Employer Data																												
Prefix	First Name	MI	Last Name or PAC/Party Committee Name	Suffix	Employer Name																												
Street Address					Street Address																												
City/Town			State	Zip Code	City/Town	State Zip Code																											

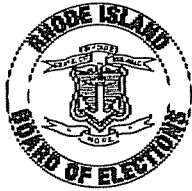
PAGE NO: ____ OF ____				PAGE TOTAL \$	
CF-3				Rev. 04/04	

CF-3

INSTRUCTIONS	
The information reported is required under the Rhode Island Campaign Contributions and Expenditures Reporting Act of 1974 as amended.	
Key # - Enter the unique number assigned to this campaign by the Board of Elections.	
Full Name of Candidate, Officeholder, Political Party Committee, or Political Action Committee (PAC) - Enter the full name of the candidate, officeholder, political party committee or political action committee as reported on the "Notice of Organization" (Form CF-1).	
Amended Report - If this report is a correction of a previously filed report, circle "Yes", otherwise circle "No".	
Reporting Period - Enter the first date of the reporting period in the "From" field and the last date of the reporting period in the "To" field. Note: Refer to the organization's "Reporting Schedule" for the beginning and ending reporting dates.	
Item # - This is a sequential number the organization assigns to each transaction. For example, the first transaction is numbered 1, the second transaction is number 2, etc.	
Transaction Type Code - Acceptable entries for the contribution transaction types are:	
Transaction Type Code	Description
• Cash	\$25 Cash limit from individuals, Political Action Committees (PACs), Political Party Committees.
• Check	Checks received from individuals, Political Action Committees (PACs), Political Party Committees.
• Money Order	Money Orders received from individuals, Political Action Committees (PACs), Political Party Committees.
• Loan	A loan is a contribution until repaid.
• Credit Card	Contributions received from individuals, PACs, and Political Party Committees by credit card.
• In-Kind	Non-monetary contribution of goods, services or other things of value.
• Other	Aggregate contributions, interest received, other receipts, refunds/rebates.
Contribution Type Code - Acceptable entries for the contribution type are:	
Contribution Type Code	Description
• Individual	Contribution received from an individual.
• Aggregate: (Individual, PAC, Party)	Contributions received are \$100 or less per contributor per calendar year. Record a separate entry for each aggregate type (i.e. Aggregate (Individual); Aggregate (PAC); etc.)
• PAC (Political Action Committee)	Contribution received is from a Political Action Committee registered in Rhode Island.
• Party (Political Party Committee)	Contribution received is from a registered Political Party Committee.
• Loan Proceeds	Funds recorded with this contribution type code have to be repaid.
• In-Kind (Individual, PAC, Party)	Non-monetary value of goods or services received. Record a separate entry for each in-kind type (i.e. In-Kind (Individual); In-Kind (PAC); etc.)
• Interest Received	Interest received for having campaign funds in a federally insured depository.
• Refund/Rebate	Funds received as a result of a previous expenditure.
• Other Receipt	Funds received from a source other than those listed.
Receipt Date - The date the treasurer or deputy treasurer received the contribution.	
Deposit Date - The date the treasurer or deputy treasurer deposited the contribution.	
Contribution Amount - The amount of funds or value of the in-kind contribution received by the treasurer or deputy treasurer.	
In-Kind/Other Contribution Receipts Description - Describe in detail the donated services received or a detailed description of the "Other Contribution Type" when selecting this option.	
Contributor Name Prefix - Enter a name prefix as reported by the contributor. Example: Dr., Hon., Gen., etc.	
Contributor First Name - Enter the first name of the contributor.	
Contributor MI - Enter the middle initial of the contributor.	
Contributor Last Name or PAC/Party Committee Name - Enter the last name of the contributor, or if a PAC or party, the name of the PAC or party as reported to the Board of Elections on its "Notice of Organization" (CF-1).	
Contributor Suffix - Enter a name suffix as reported by the contributor. Example: Jr., III, Sr., etc.	
Contributor Street Address - Enter the home address of the contributor.	
Contributor City/Town, State, Zip Code - Enter the city or town, state and zip code of the contributor.	
Contributor Employer Name - Enter the name of the business at which the contributor is employed.	
Contributor Employer Address - Enter the address of the business at which the contributor is employed.	
Contributor City/Town, State, Zip Code - Enter the city or town, state and zip code of the business at which the contributor is employed.	
If you have any questions on how to complete this form, please contact the Board of Elections.	

CF-3 Instructions

Please see reverse side for instructions on how to complete this form.



State of Rhode Island and Providence Plantations

Board of Elections

Campaign Finance Unit

50 Branch Avenue, Providence, Rhode Island 02904

Tel. (401) 222-2345

www.elections.ri.gov

SCHEDULE OF EXPENDITURES (CF-4)

Time Stamp
(For Office Use Only)

Key #	Full Name of Candidate, PAC or Party Committee		Amended Report Yes No		Reporting Period From: To:	
-------	--	--	--------------------------	--	-------------------------------	--

Check #	Expenditure Date	Payment Date	Disbursement Type (See back for list of codes)	Expenditure Type (See back for list of codes)	Expenditure Amount
					\$
Purpose of Expenditure					
Payee Information					
Prefix	First Name	MI	Last Name or Vendor Name		Suffix
Street Address			City/Town	State	Zip Code

Check #	Expenditure Date	Payment Date	Disbursement Type (See back for list of codes)	Expenditure Type (See back for list of codes)	Expenditure Amount
					\$
Purpose of Expenditure					
Payee Information					
Prefix	First Name	MI	Last Name or Vendor Name		Suffix
Street Address			City/Town	State	Zip Code

Check #	Expenditure Date	Payment Date	Disbursement Type (See back for list of codes)	Expenditure Type (See back for list of codes)	Expenditure Amount
					\$
Purpose of Expenditure					
Payee Information					
Prefix	First Name	MI	Last Name or Vendor Name		Suffix
Street Address			City/Town	State	Zip Code

Check #	Expenditure Date	Payment Date	Disbursement Type (See back for list of codes)	Expenditure Type (See back for list of codes)	Expenditure Amount
					\$
Purpose of Expenditure					
Payee Information					
Prefix	First Name	MI	Last Name or Vendor Name		Suffix
Street Address			City/Town	State	Zip Code

PAGE NO: ____ OF ____			PAGE TOTAL		\$
CF-4			Rev. 04/04		

CF-4

INSTRUCTIONS

The information reported is required under the Rhode Island Campaign Contributions and Expenditures Reporting Act of 1974 as amended.

Key # - Enter the unique number assigned to this organization by the Board of Elections.

Full Name of Candidate, Officeholder, Political Party Committee, or Political Action Committee (PAC) - Enter the full name of the candidate, officeholder, political party committee or political action committee as reported on the "Notice of Organization" (Form CF-1).

Amended Report - If this report is a correction of a previously filed report, circle "Yes", otherwise circle "No".

Reporting Period - Enter the first date of the reporting period in the "From" field and the last date of the reporting period in the "To" field. Note: Refer to the organization's "Reporting Schedule" for the beginning and ending reporting dates.

Check # - Enter the organization's check number that was used to pay this expenditure.

Expenditure Date - Enter the date the expenditure was incurred (i.e. The date the organization received goods or services).

Payment Date - Enter the date the organization paid the expenditure for the goods or services received.

Disbursement Type - Acceptable entries for this field are:

Disbursement Type

- Campaign Expenditure
- Aggregate Expenditure
- Repayment of Loan
- Accounts Payable
- Accounts Payable Repayment

Description

Any campaign expense paid for at the time of purchase.
One or more expenses in which the total was \$100 or less per payee within a calendar year.
When a loan or portion of a loan is repaid.
When goods or services are received, but not paid. Example: Credit Card Purchases
Payment of expenditures that were previously reported as accounts payable. Example: Paid credit card bill.

Expenditure Type - Acceptable entries for this field are:

Expenditure Types

(Refer to the *Campaign Finance Manual* for descriptions)

- | | | | |
|-------------------------------|---------------------------|-------------------------------|--------------------|
| • Advertising | • Employee Services | • Loan Payment | • Telephone |
| • Bank Fees | • Entertainment | • Office Equipment & Supplies | • Travel & Lodging |
| • Consultant & Prof. Services | • Food, Beverages & Meals | • Other | |
| • Donations (Political) | • Fundraising Expenses | • Refunds/Reimbursements | |
| • Donations (All Others) | • Gifts | • Rent & Utilities | |

Expenditure Amount - Enter the amount of money spent on the goods or services received.

Purpose of Expenditure - Enter a detailed description as to the reason for said expense. Example: Lunch meeting at (Restaurant Name) to discuss pending legislation.

Payee Name Prefix - Enter the name prefix as reported by the payee. Example: Dr., Hon., Gen., etc.

Payee First Name - Enter the first name of the payee.

Payee MI - Enter the middle initial of the payee.

Payee Last Name or Vendor's Name - Enter the last name of the payee, or the vendor name.

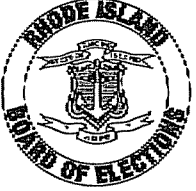
Payee Suffix - Enter the name suffix as reported by the payee. Example: Jr., III, Sr., et+

Payee Street Address - Enter the home address of the individual or the business address of the vendor.

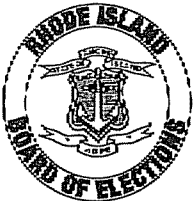
Payee City/Town, State, Zip Code - Enter the city or town, state and zip code of the individual or vendor.

If you have any questions on how to complete this form, please contact the Board of Elections.


CF-4 Instructions

 <p>State of Rhode Island and Providence Plantations Board of Elections Campaign Finance Unit 50 Branch Avenue, Providence, Rhode Island 02904 Tel. (401) 222-2345 www.elections.ri.gov</p>		Time Stamp (For Office Use Only)
AFFIDAVIT FOR ANNUAL FILING EXEMPTION (CF-5)		
Full Name of Candidate, Officeholder, Political Party Committee, or Political Action Committee (PAC)		Key #
Street Address	City/Town, State and Zip Code	
Mailing Address (if different)	City/Town, State and Zip Code	
Telephone Number	Daytime Telephone Number	Fax Number E-mail Address
Report Year Requesting Exemption	Funds Available (See Instructions)	Accounts Payable (See Instructions)
	\$ _____	\$ _____
		Loans Payable (See Instructions)
		\$ _____
AFFIDAVIT		
I, _____, do hereby certify in my capacity <div style="text-align: center;">Name of Treasurer</div> as treasurer, that I will accept no contributions in excess of \$100 in the aggregate from a single source within this calendar year nor make aggregate expenditures in excess of \$1,000 within this calendar year. *		
X _____ Signature of Treasurer		
Date _____		
<p>*NOTES: If this affidavit is filed, the treasurer is excused from filing the periodic reports of contributions and expenditures. However, at the end of the calendar year, the campaign treasurer is required to file a "Summary of Campaign Activity" (CF-2), a "Schedule of Contributions Received" (CF-3) to report contributions, and a "Schedule of Expenditures" (CF-4) to report expenses.</p> <p>Also, after executing this affidavit, a Candidate, Officeholder, PAC or Political Party Committee who in a calendar year accepts contributions in excess of \$100 in the aggregate from a single source or incurs aggregate expenditures in excess of \$1,000, the treasurer will immediately commence filing the required periodic reports.</p>		
INSTRUCTIONS		
The information reported is required under the Rhode Island Campaign Contributions and Expenditures Reporting Act of 1974 as amended.		
Full Name of Candidate, Officeholder, Political Party Committee, or Political Action Committee (PAC) – Enter the full name of the candidate, officeholder, political party committee or political action committee as reported on the "Notice of Organization" (Form CF-1).		
Key # – Enter the unique number assigned to this organization by the Board of Elections.		
Street Address – Enter the address of the organization as reported on the "Notice of Organization" (Form CF-1).		
City/Town, State & Zip Code – Enter the city/town, state and zip code as reported on the "Notice of Organization" (Form CF-1).		
Mailing Address – Enter the address where mail is directed to this organization.		
City/Town, State and Zip Code – Enter the city/town, state and zip code where mail is directed to this organization.		
Telephone Number – Enter the telephone number as reported on the "Notice of Organization" (Form CF-1).		
Daytime Telephone Number – Enter a secondary telephone for this organization.		
Fax Number – Enter the fax number for this organization.		
E-mail Address – Enter the E-mail address for this organization.		
Report Year Requesting Exemption – Enter the calendar year that the organization is requesting an annual exemption (Ex.: 2004).		
Funds Available – Enter the total amount of money the organization has available as of January 1 st of the report year (for ongoing organizations), or at the time of filing a declaration of candidacy (for new candidates), whichever is earlier.		
Accounts Payable – Enter the total amount of money owed to others in exchange for goods and services already received as of January 1 st of the report year, if applicable. This amount should match the accounts payable balance reported on the organization's last report filed with the Board of Elections.		
Loans Payable – Enter the total amount of money owed by your organization that was previously recorded as "loan proceeds" as of January 1 st of the report year, if applicable. This amount should match the Loans Payable balance on the last report filed with the Board of Elections.		
If you have any questions on how to complete this form, please contact the Board of Elections.		
PENALTIES: Any person violating the provisions of the Rhode Island Campaign Contributions and Expenditures Reporting Act (Chapter 25 of Title 17 of the Rhode Island General Laws) shall be subject to civil and/or criminal penalties.		
CF-5		Rev. 04/04

CF-5

	State of Rhode Island and Providence Plantations Board of Elections Campaign Finance Unit 50 Branch Avenue, Providence, Rhode Island 02904 Tel. (401) 222-2345 www.elections.ri.gov	Time Stamp (For Office Use Only)
AFFIDAVIT DISSOLVING CAMPAIGN ACCOUNT (CF-7)		
Full Name of Candidate, Officeholder, Political Party Committee, or Political Action Committee (PAC)		Key #
Street Address		City/Town, State and Zip Code
Mailing Address (if different)		City/Town, State and Zip Code
Telephone Number	Daytime Telephone Number	Fax Number E-mail Address
Campaign Dissolved as of (Date):		
DECLARATION		
Upon filing this form, there are no remaining campaign funds, and the organization (Candidate, Officeholder, Political Party, or Political Action Committee) has completed its business and is hereby dissolved.		
AFFIDAVIT		
I, _____, do hereby certify that the declaration provided above is true and correct. <div style="text-align: center; margin-top: 10px;"> Name of Treasurer </div>		
X _____ Signature of Treasurer		_____ Date
INSTRUCTIONS		
The information reported is required under the Rhode Island Campaign Contributions and Expenditures Reporting Act of 1974 as amended.		
Full Name of Candidate, Officeholder, Political Party Committee, or Political Action Committee (PAC) – Enter the full name of the candidate, officeholder, political party committee or political action committee as reported on the "Notice of Organization" (Form CF-1).		
Key # – Enter the unique number assigned to this campaign by the Board of Elections.		
Street Address – Enter the address of this organization as reported on the "Notice of Organization" (Form CF-1).		
City/Town, State & Zip Code – Enter the city/town, state and zip code as reported on the "Notice of Organization" (Form CF-1).		
Mailing Address – Enter the address where mail is directed to this organization.		
City/Town, State and Zip Code – Enter the city/town, state and zip code where mail is directed to this organization.		
Telephone Number – Enter the telephone number as reported on the "Notice of Organization" (Form CF-1).		
Daytime Telephone Number – Enter a secondary telephone for this campaign.		
Fax Number – Enter the fax number for this campaign.		
E-mail Address – Enter the E-mail address for this campaign.		
Campaign Dissolved as of (Date) – Enter the date the campaign has concluded its business.		
If you have any questions on how to complete this form, please contact the Board of Elections.		
PENALTIES: Any person violating the provisions of the Rhode Island Campaign Contributions and Expenditures Reporting Act (Chapter 25 of Title 17 of the Rhode Island General Laws) shall be subject to civil and/or criminal penalties.		
CF-7		Rev. 05/04

CF-7

	State of Rhode Island and Providence Plantations Board of Elections Campaign Finance Division 50 Branch Avenue, Providence, Rhode Island 02904 Tel. (401) 222-2345 www.elections.ri.gov	Time Stamp (Office Use Only)
SCHEDULE OF INDEPENDENT EXPENDITURES (CF-8)		
Identification of Person Making Expenditure		
Street Address	City/Town, State and Zip Code	Telephone Number
Name(s) and Address(es) of Person(s) Exercising or Sharing Direction or Control Over Person Making Expenditure		
Name	Address	
1.	1.	
2.	2.	
3.	3.	
<p><i>Whenever any person makes an independent expenditure that in the aggregate exceeds \$100 in a calendar year, said person shall file a report within 7 days of making the expenditure. Thereafter, said person shall file additional reports no later than seven (7) days after the independent expenditure is made.</i></p>		
<p>The aforementioned Person has independently expended more than \$100 to support or defeat a Candidate as follows:</p> <p>Identify the candidate on the ballot and whether funds were expended to support or oppose this candidate:</p> <p style="text-align: right;"> <input type="checkbox"/> Support <input type="checkbox"/> Defeat </p>		
Date of Expenditure	Amount of Expenditure	Name and Address of Person Receiving Expenditure (required when aggregate amount exceeds \$100)
<p><i>For each independent expenditure made, a report must be filed identifying the sources of monies used for said expenditure. Any legal entity receiving monies for independent expenditures must report the receipt of said monies within seven (7) days.</i></p>		
Date Monies Received	Amount Received	Name/Address of Person Contributing Monies for Independent Expenditure (required when aggregate amount exceeds \$100)
Amount expended from the Person's own funds (i.e., treasury) for independent expenditures: \$ _____		
< Please Sign on Reverse Side >		

CF-8

The person named below attests, under the penalty of perjury, that the information provided is complete, true and accurate and complies with RI General Laws and with Rules and Regulations adopted pursuant to RIGL §17-25 et seq.	
Identification of Person Making Expenditure	Subscribed and Sworn to me this _____ Date _____ X _____ Notary Public
Signature of Person Making Expenditure	
Address, City/Town, State, Zip Code of Person Making Expenditure	

Reporting Requirements for Independent Expenditures

It is lawful for any person, including any corporation or any other organization not otherwise prohibited by law and not making an expenditure to or with any candidate, political committee, political party, or political action committee, to independently expend from a person's own funds, including from the treasury of a corporation or organization, a sum which is not to be repaid to said person for the purpose of expressly advocating for the support or defeat of a candidate.

Whenever any person makes an independent expenditure that in the aggregate exceeds one hundred dollars (\$100.00) in a calendar year, said person shall file a report (CF-8) with the Board of Elections, which shall state, under the penalty of perjury, the following information:

- (1) The identification of the person making the independent expenditure, including the person's address and principal place of business, if not an individual, and the amount expended;
- (2) The identification of any person sharing or exercising direction or control over the activities of the person making said expenditure, including that person's address and the principal place of business, if not of an individual; and
- (3) The name and address of every person or entity receiving an expenditure which in the aggregate exceeds one hundred dollars (\$100.00), and the amount of each expenditure.

The first report must be filed within seven (7) days from the date that said expenditure exceeds the aggregate of one hundred dollars (\$100.00). Thereafter, said person shall file additional CF-8 reports with the Board of Elections no later than seven (7) days after the independent expenditure is made. The date for such expenditure is the date that a written contract, oral agreement or other promise is made to make an expenditure, rather than the date that the funds are actually expended.

For each expenditure made, a report must be filed with the Board of Elections identifying the source of monies used for said expenditure. For example, where an association or corporation uses monies provided by its members for the purpose of expressly advocating the support or defeat of a candidate, each person from whom said monies was received shall be identified in the filings with the Board of Elections, which shall include the person's name, address, and amount contributed for the purpose of making an electioneering communication or other such expenditure by said corporation or association. Each such person shall be identified on Form CF-8.

Further, when a member of a legal entity transfers money or other thing of value to said legal entity, and knows that the monies or other thing of value is to be used by the legal entity for the purpose of making an expenditure in support of or in opposition to a candidate for office, said donor must file a Form CF-8 with the Board, within seven (7) days of the transfer.

Additionally, any legal entity receiving said monies or other thing of value must likewise report to the Board the receipt of said monies or item of value within seven (7) days. The legal entity receiving said monies or other thing of value shall forward a copy of Form CF-8 to the donor member with notice that said form may be required to be completed by the donor member. This shall apply whenever a legal entity receives any money or other thing of value in excess of one hundred dollars (\$100.00) from any single source.

No corporation, whether for profit or non-profit, domestic or foreign, or any other legal entity as defined herein, is permitted to make any expenditures to or with any candidate, political action committee, or political party committee, or for any candidate, political action committee, or political party committee to accept any campaign contribution or expenditure from such corporation or other legal entity.

PENALTIES: Any person violating the provisions of the Rhode Island Campaign Contributions and Expenditures Reporting Act (Chapter 25 of Title 17 of the Rhode Island General Laws) shall be subject to civil and/or criminal penalties.

THIS FORM MUST BE RETURNED TO THE BOARD OF ELECTIONS BEARING ORIGINAL SIGNATURES.

If you have any questions on how to complete this form, please contact the Board of Elections.

CF-8

Rev. 08/10

CF-8 Instructions

APPENDIX B

SUMMARY CHART

ALLOWABLE AND PROHIBITED CONTRIBUTIONS

(All limits shown below are for a calendar year)

CONTRIBUTIONS FROM:	CONTRIBUTIONS RECEIVED:				
	Candidate	PAC	Political Party Committee	<u>Aggregate Annual Limits</u>	Political Party-Organizational & Party Building Activities Only
Individual/Candidate	\$1,000 (including in-kind)	\$1,000	\$1,000	\$10,000 (all Candidates, PACs & Party Committees)	\$10,000 (not counted towards aggregate annual limit)
PAC	\$1,000 (including in-kind)	\$1,000	\$1,000	\$25,000 (all Candidates, PACs & Party Committees)	\$10,000 (not counted towards aggregate annual limit)
Party Committee	\$25,000 (unlimited in-kind)	\$1,000	\$1,000		\$10,000 (not counted towards aggregate annual limit)
Corporations, Unions, Business Entities, Unregistered PACs	Prohibited	Prohibited	Prohibited		Prohibited

SUPPLEMENTAL INFORMATION

- Contributions of cash in excess of \$25 from a single source in the aggregate in a calendar year are prohibited.
- Anonymous contributions are prohibited.
- Contributions from an individual's dependent child are deemed contributions from the individual.
- There is no restriction on the amount of money a candidate may loan to his or her own campaign.
- Loans are counted as contributions until repaid.

APPENDIX C

APPENDIX D

Board of Elections
50 Branch Avenue
Providence, RI 02904
401-222-2345 Telephone
401-222-3135 Fax

**POLICY
ON THE
PERMITTED/PROHIBITED USES OF CAMPAIGN FUNDS**

The within policy is hereby adopted by the Board of Elections (the "Board") for the purpose of clarifying and expounding on the provisions and requirements of §17-25-7.2 of the Rhode Island Campaign Finance & Expenditures Reporting Act (the "Act") regarding the permitted and prohibited used of campaign funds.

(Note: The policy adopted by the Board appears in *italics* beneath the specific expenditure item which the Board is seeking to address with the adoption of said policy.)

17-25.7.2 Personal use of campaign funds prohibited. –

- a) The personal use by any elected public office holder or by any candidate for public office, as defined in § 17-25-3, of campaign funds contributed after April 29, 1992, shall be prohibited. For the purpose of this section, "personal use" is defined as any use other than expenditures related to gaining or holding office and for which the candidate for public office or elected public official would be required to treat the amount of the expenditure as gross income under § 61 of the Internal Revenue Code of the United States, as from time to time amended.
- b) Expenditures that are specifically prohibited under this chapter include:
 - 1) Any residential or household items, supplies or expenditures, including mortgage, rent or utility payments for any part of any personal residence of a candidate or officeholder or a member of the candidate's or officeholder's family;
 - 2) Mortgage, rent or utility payments for any part of any non-residential property that is owned by a candidate or officeholder or a member of a candidate's or officeholder's family and used for campaign purposes, to the extent the payments exceed the fair market value of the property usage;
 - 3) Funeral, cremation, or burial expenses, including any expenses related to deaths within a candidate's or officeholder's family;
 - 4) Clothing, other than items of de minimis value that are used in the campaign;

PERMITTED/PROHIBITED USES OF CAMPAIGN FUNDS

17-25-7.2(b)(4) (cont.)

- a) Expenditures for clothing shall be limited to items of de minimis value which display the candidate's name or message, or which promote the advocacy or defeat of an issue, or ballot question. The cost per unit of said clothing shall not exceed twenty-five dollars (\$25.00).*
 - b) Clothing which is rented for a specific campaign or officeholder activity shall be deemed an allowable expense, provided that the campaign making said rental shall be required to report the item rented and the specific campaign or officeholder activity for which it was rented.*
- 5) Tuition payments;
- 6) Dues, fees or gratuities at a country club, health club, recreational facility or other nonpolitical organization, unless part of a specific fundraising event that takes place on the organization's premises;
- 7) Salary payments to a member of a candidate's family, unless the family member is providing bona fide services to the campaign. If a family member provides bona fide services to a campaign, any salary payments in excess of the fair market value of the services provided is personal use;
- 8) Admission to a sporting event, concert, theater, or other form of entertainment, unless part of a specific campaign or officeholder activity.
 - a) The purchase of "season tickets" is prohibited.*
 - b) Individual tickets for individual events purchased as part of a specific campaign or officeholder activity is a permitted use of campaign funds, provided, that the campaign making said purchase shall be required to report the specific campaign or officeholder activity participated in and its purpose.*
- 9) Payments of any fines, fees or penalties assessed pursuant to this chapter.
- c) Any expense that results from campaign or officeholder activity is permitted use of campaign funds. Such expenditures may include:
 - 1) The defrayal or ordinary and necessary expenses of a candidate or officeholder;
 - 2) Office expenses and equipment, provided the expenditures and the use of the equipment can be directly attributable to the campaign or the officeholder's duties and responsibilities;
 - 3) Donations to charitable organizations, provided the candidate or officeholder does not personally benefit from the donation or receive compensation from the recipient organization;

PERMITTED/PROHIBITED USES OF CAMPAIGN FUNDS

17-25-7.2(c) (cont.)

- 4) Travel expenses for an officeholder, provided that the travel is undertaken as an ordinary and necessary expense of seeking, holding, or maintaining public office, or seeking, holding, or maintaining a position within the legislature or other publicly elected body. If a candidate or officeholder uses campaign funds to pay expenses associated with travel that involves both personal activities and campaign or officeholders activities, the incremental expenses that result from the personal activities are personal use, unless the person(s) benefiting from this use reimburse(s) the campaign account within thirty (30) days for the amount of the incremental expenses.
 - a) *In-State Travel: A candidate or officeholder is permitted to expend campaign funds for travel directly related to a campaign or officeholder activity. A candidate or officeholder expending funds for in-state travel shall be required to file a "Vehicle Travel Accounting Report" (Form CF-101) ("MV Travel Report") (see "Exhibit A"). A candidate or officeholder may seek reimbursement at a rate established by the Internal Revenue Service (IRS) for the year in which the travel is incurred.*
 - b) *Vehicle repair costs are prohibited.*
 - c) *The rental of a vehicle for a specific campaign or officeholder activity is permitted, provided that said campaign or officeholder activity must be reported.*
 - d) *The leasing of vehicles is prohibited, provided that the candidate or officeholder, who contends that the leasing of a vehicle is necessary for a campaign or for the officeholder to execute the duties of his or her office may, prior to using funds from a campaign account, file a request with the Board of Elections seeking authorization to use said funds to lease a vehicle.*
- 5) Gifts of nominal value and donations of a nominal amount made on a special occasion such as a holiday, graduation, marriage, retirement or death, unless made to a member of the candidate's or officeholder's family.
 - a) *"Nominal Value" shall mean a gift that does not exceed one hundred dollars (\$100.00) per occasion, unless otherwise authorized by the Board of Elections prior to said expenditure being incurred.*
- 6) Meal expenses which are incurred as part of a campaign activity or as part of a function that is related to the candidate's or officeholder's responsibilities, including meals between and among candidate's and/or officeholders that are incurred as an ordinary and necessary expense of seeking, holding, or maintaining public office, or seeking, holding, or maintaining a position within the legislature or other publicly elected body;
- 7) Food and beverages that are purchased as part of a campaign or officeholder activity.

PERMITTED/PROHIBITED USES OF CAMPAIGN FUNDS

17-25-7.2 (cont.)

Other:

- a) *The use of funds from a campaign account for the purpose of grooming or enhancing one's personal appearance is prohibited. Such prohibited expenditures include, but are not limited to: cosmetic surgery, haircuts, hairpieces, make-up, etc., provided that if said expenditure is incurred for the purpose of a specific candidate or officeholder activity, i.e., a debate, or the appearance on television or other public forum, and, provided further, that the candidate or officeholder can demonstrate that said expenditure was a necessary expenditure for said activity. Moreover, a candidate or officeholder seeking to expend funds for said purpose shall be required to report the specific candidate or officeholder activity for which said expenditure was required.*
- d) Any campaign funds not used to pay for the expenses of gaining or holding public office may:
 - 1) Be maintained in a campaign account(s);
 - 2) Be donated to a candidate for public office, to a political organization, or to a political action committee, subject to the limitation on contributions in § 17-25-10.1;
 - 3) Be transferred in whole or in part into a newly established political action committee;
 - 4) Be donated to a tax exempt charitable organization as that term is used in § 501(c)(3) of the Internal Revenue Code of 1986, 26 U.S.C. § 501, or any subsequent corresponding internal revenue code of the United States as from time to time amended;
 - 5) Be donated to the state of Rhode Island; or
 - 6) Be returned to the donor.

The within policy is hereby adopted by the Board of Elections this 1st day of June 2004.

Roger N. Begin
Chairman

	"Exhibit A"
--	-------------

Board of Elections
50 Branch Avenue
Providence, RI 02904
401-222-2345 Telephone
401-222-3135 Fax

**POLICY ON
FINES & PENALTIES
FOR CONTRIBUTIONS MADE & RECEIVED
IN EXCESS OF THE
ALLOWABLE ANNUAL CONTRIBUTION LIMITS**

The within policy is for the purpose of establishing a schedule of fines and penalties for those contributions made and received by individuals, candidates/officeholders and entities in accordance with the Rhode Island Campaign Contributions & Expenditures Reporting Act ("Act") and which exceed the allowable annual contribution limits permitted by the Act.

Section 1. Definitions

For the purpose of this policy, the following definitions shall be in effect:

"Candidate/Officeholder" shall mean a candidate as defined pursuant to §17-25-3(2); an individual elected to and/or holding public office; and, an individual accepting contributions and/or incurring expenditures or maintaining an "open" campaign account are required to file reports with the Board of Elections pursuant to the requirements of §17-25.

"Entity" shall mean a political party committee and political action committee (PAC).

Section 2. Fines & Penalties

A. Contributions *Made* In Excess Of Allowable Limits

An individual, candidate/officeholder or entity which makes a contribution to a candidate/officeholder or entity which is in excess of the allowable annual contribution limits shall be subject to the following:

- 1) Upon determining that an individual, candidate/officeholder or entity has made a contribution (or contributions) to a candidate/officeholder or entity which, in the aggregate, exceeds the allowable annual contribution limits, the individual, candidate/officeholder or entity, as the case may be, shall be issued a **warning** against making any further contributions which exceed the allowable annual limits, including those contributions which may be made in excess of the allowable annual limits to other candidates/officeholders or entities.

POLICY – FINES & PENALTIES: CONTRIBUTIONS IN EXCESS OF LIMITS

Section 2 (cont.)

- 2) Upon determining that an individual, candidate/officeholder or entity, who has previously received a warning from the Board pursuant to Subsection 2(A)(1), has made a contribution (or contributions) to a candidate/officeholder or entity which, in the aggregate, exceeds the allowable annual contribution limits, the individual, candidate/officeholder or entity, as the case may be, shall be issued a **second warning** against making any further contributions which exceed the allowable annual limits, including those contributions which may be made in excess of the allowable annual limits to other candidates/officeholders or entities.
- 3) Upon determining that an individual, candidate/officeholder or entity, who has received a second warning from the Board pursuant to Subsection 2(A)(2), has made a contribution (or contributions) to a candidate/officeholder or entity which, in the aggregate, exceeds the allowable annual contribution limits, the individual, candidate/officeholder or entity, as the case may be, shall be fined **one hundred dollars (\$100.00) for each contribution(s)** made to any candidate/officeholder or entity which exceeds the allowable annual contribution limits.

B. Contributions Received In Excess Of Allowable Limits

A candidate/officeholder or entity which accepts contributions in excess of the allowable annual contribution limits shall be subject to the following:

- 1) Upon determining that a candidate/officeholder or entity has received contributions which, in the aggregate, exceed the allowable annual contribution limits, the candidate/officeholder or entity, as the case may be, shall be issued a **warning** by the Board of Elections against accepting contributions which exceed the allowable annual limits.
- 2) Upon determining that a candidate/officeholder or entity, who has previously received a warning from the Board of Elections pursuant to Subsection 2(B)(1), has received contributions which, in the aggregate, exceed the allowable annual contribution limits, the candidate/officeholder or entity, as the case may be, shall be issued a **second warning** against accepting contributions which exceed the allowable annual limits.
- 3) Upon determining that a candidate/officeholder or entity, who has received a second warning from the Board pursuant to Subsection 2(B)(2), has received contributions which, in the aggregate, exceed the allowable annual contribution limits, the candidate/officeholder or entity, as the case may be, shall be fined **twenty-five dollars (\$25.00) for each contribution** received which exceeds the allowable annual contribution limits.
- 4) Upon determining that a candidate/officeholder or entity, who has been fined pursuant to Subsection 2(B)(3), has received contributions which, in the aggregate, exceed the allowable annual contribution limits, the candidate/officeholder or entity,

POLICY – FINES & PENALTIES: CONTRIBUTIONS IN EXCESS OF LIMITS

Section 2 (cont.)

as the case may be, shall be fined **fifty dollars (\$50.00) for each contribution** received which exceeds the allowable annual contribution limits.

- 5) Upon determining that a candidate/officeholder or entity, who has been fined pursuant to Subsection 2(B)(4), has received contributions which, in the aggregate, exceed the allowable annual contribution limits, the candidate/officeholder or entity, as the case may be, shall be fined **one hundred dollars (\$100.00) for each contribution** received which exceeds the allowable annual contribution limits.

The fines and penalties established in this section may be issued by the Board or its designee; provided, however, that the Board or its designee may reduce or waive any fines which may be assessed pursuant to this section.

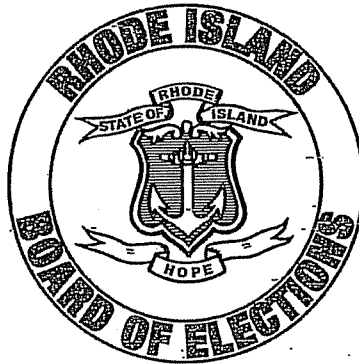
Notwithstanding any other provision or requirement of this section, the Board of Elections may, at its sole discretion, take any further action against an individual, candidate/officeholder or entity which it deems appropriate and which may be permitted pursuant to the Rhode Island Campaign Contributions And Expenditures Reporting Act.

Section 3. Applicability

This policy shall be effective upon adoption and shall apply to all contributions made or received commencing on January 1, 2004; provided, however, that any individual, candidate/officeholder or entity who shall have made or accepted contributions in excess of the allowable annual limits prior to adoption of these policies shall not be penalized or fined beyond the issuance of a warning as provided for in Subsection 2(A)(1) or 2(B)(1), as the case may be, for the contributions made or accepted during this period which exceeded the allowable limits.

The within policy is hereby adopted by the Board of Elections this 1st day of June 2004.

Roger N. Begin
Chairman



RULES AND REGULATIONS FOR THE APPEALING OF LATE FINES

As Amended:

5/19/2010

7/13/2010

**Promulgated by order of
The Rhode Island State Board of Elections
John A. Daluz, Chairman**

RULES & REGULATIONS FOR THE APPEAL OF LATE FILING FINES ADOPTED BY THE RHODE ISLAND BOARD OF ELECTIONS

The Rhode Island Board of Elections hereby amends rules and regulations relating to contributions and expenditures reporting pursuant to and in accordance with R.I. Gen. Laws § 17-25-11(g) and 17-25.2-5(d).

Said rules and regulations are amended pursuant to the Administrative Procedures Act (R.I.G.L. § 42-35 et seq.) and are available for public inspection at the offices of the Rhode Island Board of Elections, 50 Branch Avenue, Providence, Rhode Island.

Section 1. Purpose

This rule is adopted by the Board of Elections for the purpose of clarifying and expanding upon R.I.G.L. § 17-25-11(g) and 17-25.2-5(d).

Section 2. Definitions

“Filer” means any candidate, committee, or person required to file Campaign Finance Reports pursuant to R.I.G.L. § 17-25-11 and 17-25.2-5.

“Supervisory Staff” means the Board of Elections’ Executive Director, Director of Campaign Finance, or their designees.

Section 3. Contesting Late Filing Fines

When the Board of Elections assesses a Filer with a fine for failure to file reports under R.I.G.L. § 17-25-11(g)(2) or 17-25.2-5(d)(2), and the Filer is subsequently notified by certified mail of the imposition of the fine, then the Filer may appeal the fine on grounds that the fine was incorrectly imposed within thirty (30) days of receipt of notice of the non-compliance or in the event that the notice is not claimed, within forty-five (45) days of the date on which the notice was sent. A failure to file a timely appeal shall be deemed an admission. Requests for appeals must be in accordance with the Rules of Practice and Procedure in Adjudicatory Hearings before the Rhode Island Board of Elections.

Nothing in this section shall prohibit the Board of Elections from acting on its own motion to waive any fines or fees imposed.

Section 4. Waiver of Late Filing Fines – For Good Cause Shown

Filers seeking waivers of fines or fees imposed under R.I.G.L. § 17-25-11(g) or 17-25.2-5(d) may request a waiver by the Board of Elections for good cause shown within sixty (60) days of receipt of notice of the non-compliance or if the notice is not claimed, within seventy-five (75) days of the date on which the notice was sent. Waivers

may only be considered if there are no reports past due. All waiver requests must be submitted either in writing or electronically and contain the Filer's name, address, a statement specifying the fines and fees to be waived, and cause for the late filing.

The Board of Elections hereby authorizes its Supervisory Staff to administratively review and act upon all requests, including setting conditions for any full or partial waivers, where the amount of fines and fees do not exceed five thousand dollars (\$5,000). Waiver requests where the amount of fines exceed five thousand dollars (\$5,000) will be submitted to the Board for public hearing, provided however, that the Board hereby authorizes its legal counsel to take whatever action is available under the law to collect any outstanding penalties and, with the consent of the Board's Supervisory Staff, to set conditions for any full or partial waivers.

Filers may appeal the Supervisory Staff's decision on any waiver request for a de novo public hearing to the Board of Elections within forty-five (45) days of the date of the notice, which shall contain a statement of the Filer's right of appeal. All requests for a hearing must be in writing and in compliance with the Rules of Practice and Procedure in Adjudicatory Hearings before the Rhode Island Board of Elections.

Nothing in this section shall prohibit the Board of Elections from acting on its own motion to waive any fines or fees imposed.

Section 5. Applicability – Prior Fines and Fees

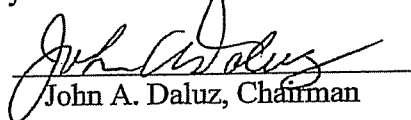
All fines and fees due prior to the adoption of this regulation are hereby subject to this regulation. All the rights and periods of waiver and appeal stated herein shall commence with the date of adoption of this regulation. All previous notices sent prior to the adoption of this regulation shall be deemed sufficient and shall not be resent.

Section 6. Implementation

The Board of Elections may promulgate procedures and forms necessary to implement the within rules and regulations required under the Rhode Island General Laws.

These rules and regulations were adopted at a meeting of the State Board of Elections held on the 13th day of July 2010 pursuant to the Administrative Procedures Act (R.I.G.L. 42-35-1, *et seq.*).

By Order of the Rhode Island Board of Elections

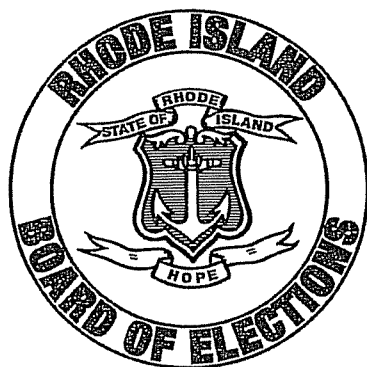

John A. Daluz, Chairman

7/15/10
Date

Witnessed by


Robert Kando, Executive Director

7/15/10
Date



**RULES AND REGULATIONS
FOR CONTRIBUTIONS AND
EXPENDITURES REPORTING**

**Promulgated by order of
The Rhode Island State Board of Elections
John A. Daluz, Chairman**

**RULES & REGULATIONS FOR CONTRIBUTIONS AND
EXPENDITURES REPORTING ADOPTED BY THE RHODE
ISLAND BOARD OF ELECTIONS**

The Rhode Island Board of Elections hereby adopts the rules and regulations relating to contributions and expenditures reporting pursuant to and in accordance with R.I. Gen. Laws § 17-25-11 and 17-25.2-5.

Said rules and regulations are adopted pursuant to the Administrative Procedures Act (R.I.G.L. § 42-35 et seq.) and are available for public inspection at the offices of the Rhode Island Board of Elections, 50 Branch Avenue, Providence, Rhode Island.

Section 1. Purpose

This rule is adopted by the Board of Elections for the purpose of clarifying and expanding upon R.I.G.L. § 17-25-11 and 17-25.2-5.

Section 2. Definitions

Campaign Finance Report or Report shall mean the Summary of Campaign Activity (CF-2) form and, unless otherwise not required, the Schedule of Contributions Received (CF-3) form and the Schedule of Expenditures (CF-4) form.

Filer shall mean any candidate, committee, or person required to file Campaign Finance Reports pursuant to R.I.G.L. § 17-25-11 and 17-25.2-5.

Materially Amend shall mean to add, delete, or alter more than 500 dollars (\$500) or ten percent (10%), whichever is larger, of the total fiscal sum of either the contributions or expenditures on any Campaign Finance Report. Provided, however, that any willful omission of any amount shall be subject to review and penalties by the Board.

Substantially Complete shall mean that ninety percent (90%) or more of the total fiscal sum of all required contributions and expenditures are disclosed on the CF-2 form and correspond to itemized amounts accounted for on the CF-3 and CF-4 forms.

Section 3. Rules and Regulations for a Complete Report

When a Filer submits a Campaign Finance Report to the Board of Elections pursuant to R.I.G.L. § 17-25-11 and 17-25.2-5 that is Substantially Complete, the date of the original submission will become the filing date.

When a Filer submits a Campaign Finance Report to the Board of Elections that is not Substantially Complete and later Materially Amends it, the date of amendment will become the actual filing date. As a result, late filing fines and fees may be assessed pursuant to R.I.G.L. § 17-25-11(g) and 17-25.2-5(d).

Section 4. Notice and Appeals

When the Board of Elections has reason to believe that any required portions of a Campaign Finance Report were late or willfully or knowingly left blank, incomplete, or inaccurate, the Board may take action against the Filer pursuant to R.I.G.L. § 17-25-13, 17-25-16, 17-25-11(g), and 17-25.2-5(d).

The Board of Elections shall notify the Filer of any violations by certified mail pursuant to the requirements of R.I.G.L. § 17-25-11 (3); the Filer has the opportunity to appeal any actions based on any violations.

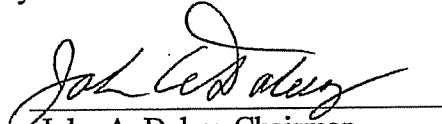
Notwithstanding any of the provisions of these rules and regulations, the Board of Elections shall have the authority to waive late filing fees for good cause shown.

Section 5. Implementation

The Board of Elections may promulgate procedures and forms necessary to implement the within rules and regulations required under the Rhode Island General Laws.

These rules and regulations were adopted at a meeting of the State Board of Elections held on the 21 day of April 2010 pursuant to the Administrative Procedures Act (R.I.G.L. 42-35-1, *et seq.*).

By Order of the Rhode Island Board of Elections.

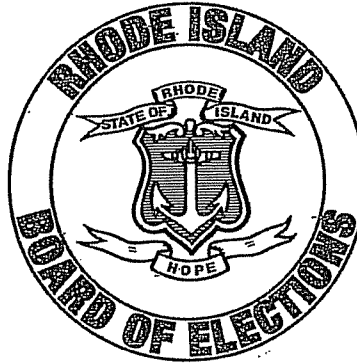

John A. Daluz, Chairman

4/27/10
Date

Witnessed by


Robert Kando, Executive Director

4/27/10
Date



**RULES AND REGULATIONS
ON REPORTING REQUIREMENTS FOR COORDINATED
AND INDEPENDENT EXPENDITURES**

**Promulgated by order of
The Rhode Island State Board of Elections
John A. Daluz, Chairman**

**RULES AND REGULATIONS ON REPORTING REQUIREMENTS FOR
COORDINATED AND INDEPENDENT EXPENDITURES ADOPTED BY THE
RHODE ISLAND BOARD OF ELECTIONS**

The Rhode Island Board of Elections hereby adopts rules and regulations on reporting requirements for coordinated and independent expenditures pursuant to and in accordance with R.I. Gen. Law § 17-25 et seq., due to the United States Supreme Court decision rendered in Citizens United v. Federal Elections Commissioner, 130 S. Ct 876 – U.S. – (2010)

Said rules and regulations are adopted pursuant to the Administrative Procedures Act (R.I.G.L. § 42-35 et seq.) and are available for public inspection at the offices of the Rhode Island Board of Elections, 50 Branch Avenue, Providence, Rhode Island.

SECTION 1. Purpose and Scope

The following regulation is proposed by the State Board of Elections under the authority of Title 17, Chapter 25 of the Rhode Island General Laws and is promulgated for the purpose of clarifying the reporting requirements for independent and coordinated expenditures in the aftermath of the United States Supreme Court decision rendered in *Citizens United v. Federal Elections Commission*, 130 S. Ct. 876, - U.S. - (2010). That Supreme Court decision struck down portions of Congress' Bipartisan Campaign Reform Act of 2002 ("BCRA"), which prohibited corporations and unions from using their general funds to make independent expenditures for speech that is an "electioneering communication" or for speech that expressly advocates the election or defeat of a candidate. In light of First Amendment protection that extends to corporations, the Supreme Court held that there is "no basis for allowing the government to limit corporate independent expenditures." (slip op. at 50). However, the Supreme Court likewise upheld the constitutionality of the disclaimer and disclosure and disclaimer provisions of BCRA. Under that Act, a person who makes a disbursement for producing and airing

electioneering communications must file a report with the Federal Elections Commission which identifies the person making the disbursement, with related information, including the identities of those persons who shared or exercised direction or control over the activities of the person making the disbursement. BCRA also requires televised electioneering communications funded by anyone other than the candidate to include a disclaimer that the person funding the communication is responsible for the content of the advertisement. The disclaimer must be both audible and visibly displayed on the screen in a clearly readable manner. It must also display the name and address of the person or group that funded the advertisement.

These “disclaimer and disclosure requirements may burden the ability to speak, but they ‘impose no ceiling on campaign related activities,’ *Buckley*, 424 U.S. at 64 and ‘do not prevent anyone from speaking,’ *McConnell*, 540 U.S. at 201.” Disclosure requirements are justified based upon a valid governmental interest in “providing the electorate with information” about the sources of election-related spending. *Buckley*, 424 U.S. at 66. Such disclosure requirements help citizens “make informed choices in the political marketplace.” 540 U.S. at 197 (internal quotations omitted). Indeed, the Supreme Court found that “there was evidence in the record that independent groups were running election-related advertisements ‘while hiding behind dubious and misleading names.’” *McConnell*, 540 U.S. at 197 (quoting *McConnell I*, 251 F. Supp. 2nd at 237).

Rhode Island law currently does not prohibit corporations from making independent expenditures. R.I. Gen. Laws § 17-25-10.1(h)(1) states, in part, that:

It shall be unlawful for any corporation, whether profit or non-profit, domestic corporation or foreign corporation, as defined in § 7-1.1-2, or

other business entity to make any campaign contribution or expenditure, as defined in § 17-25-3, to or for any candidate, political action committee, or political party committee, or for any candidate, political action committee, or political party committee to accept any campaign contribution or expenditure from a corporation or other business entity.

The terms "contributions" and "expenditures" are defined under R.I. Gen. Laws § 17-25-3 and do *not* include independent expenditures:

"Contributions" and "expenditures" include all transfers of money, credit or debit card transactions on-line or electronic payment systems such as "PayPal," paid personal services, or other things of value to or by any candidate, committee of a political party, or political action committee or ballot question advocate. A loan shall be considered a contribution of money until it is repaid.

Thus, the existing statute on prohibitions for corporate expenditures does not reach independent expenditures, but only payments and expenditures to or on behalf of a candidate, committee of a political party or political action committee or ballot question advocate.

SECTION 2. Definitions

1. "Legal Entity" means any corporation, whether for profit or not for profit, domestic corporation or foreign corporation, as defined in R.I. Gen. Laws § 7-1.1-2, financial institution, cooperative, association, receivership, trust, holding company, firm, joint stock company, public utility, sole proprietorship, partnership, limited partnership, or any other entity recognized by the laws of the United States and/or the state of Rhode Island for the purpose of doing business. The term "legal entity" shall not include a political action committee organized pursuant to this chapter or a political party committee organized pursuant to this chapter or an authorized campaign committee of a candidate or office holder.

2. "Candidate" means any individual who undertakes any action, whether preliminary or final, which is necessary under the law to qualify for nomination for election or election to a state or local office in the State of Rhode Island, and/or any individual who receives a contribution or makes an expenditures, or gives his or her consent for any other person to receive a contribution or make an expenditure, with a view to bringing about his or her nomination or election to any state or local office in the State of Rhode Island, whether or not the specific state or local office for which he or she will seek nomination or election is known at the time the contribution is received or the expenditure is made and whether or not he or she has announced his or her candidacy or file a declaration of candidacy at that time.

3. "Contributions" and "expenditures" include all transfers of money, credit or debit transactions on-line or electronic payment systems such as "PayPal," paid personal services, or other things of value to or by any candidate, committee of a political party, or political action committee or ballot question advocate. A loan shall be considered a contribution of money until it is repaid.

4. "Expenditures" shall include, but are not limited to the payment for any goods and services as set forth below:

(i) Any media advertising services or products, including, but not limited to, newspapers, radio stations or television stations;

(ii) General advertising in letters, brochures, flyers, handbills, lawn signs, posters, bumper stickers, buttons or other materials except for newsletters and other communications paid for and transmitted by an organization to its own members and not to the general public; or

(iii) Paid personal services, including advertising agency services or other professional services including accounting services, printing, secretarial services, public opinion polls, research and professional campaign consultation or management, media production or computer services. A written contract, agreement or promise to make an expenditure is an expenditure as of the date such contract, expenditure or obligation is made.

5. "Clearly identified candidate" means any reference to the candidate's name, nickname, photograph, or drawing appears, or the identity of the candidate is otherwise apparent through any reference or link to a candidate's website or through an unambiguous reference such as "the Governor," "Your state representative," or "the incumbent," or through an unambiguous reference to his or her status as a candidate such as "the Democratic gubernatorial nominee" or the "Republican candidate for District 500 in the State of Rhode Island."

6. "Expressly advocating" means any communication that (a) uses phrases such as "Vote for the Governor," "Re-elect your State Senator," "Support the Gubernatorial Nominee," "Cast Your Ballot for the Democratic Challenger for the State Senate Seat 500," "Smith for Lt. Governor," "John Doe in 2010," "Vote for a Balanced Budget" accompanied by a listing of clearly identified candidates described as being in favor of a balanced budget, "Vote Against John Doe," "Defeat" accompanied by a picture of one or more candidates, or "Reject the Incumbent" or repeats or adopts slogans/themes associated with a specific candidate who is identified within the communication, or communications of slogans or individual words which in context can have no other

reasonable meaning than to urge the election or defeat of one or more clearly identified candidates, such as posters, bumper stickers and advertisements.

7. "Other thing of value" means any item of tangible real or personal property, or paid personal services, donated to or benefiting any person required to file reports with the Board of Elections and that in the aggregate has a fair market value in excess of one hundred dollars (\$100).

8. "Paid personal services" means personal services of every kind and nature, the cost or consideration for which is paid or provided by someone other than the committee or candidate for whom the services are rendered, but shall not include personal services provided without compensation by persons volunteering their time.

9. "Person" means either an individual, partnership, committee, association, corporation, or any other organization.

SECTION 3. Reporting Requirements for Independent Expenditures

It is lawful for any person, including any corporation or any other organization not otherwise prohibited by law and not making an expenditure to or with any candidate, political committee, political party, or political action committee, to independently expend from a person's own funds, including from the treasury of a corporation or organization, a sum which is not to be repaid to said person for the purpose of expressly advocating for the support or defeat of a candidate.

Whenever any person makes an independent expenditure that in the aggregate exceeds one hundred dollars (\$100.00) in a calendar year, said person shall file a report with the Board of Elections, designated as CF-8, which shall state, under the penalty of perjury, the following information:

- (1) The identification of the person making the independent expenditure, including the person's address and principal place of business, if not an individual, and the amount expended;
- (2) The identification of any person sharing or exercising direction or control over the activities of the person making said expenditure, including that person's address and the principal place of business, if not of an individual; and
- (3) The name and address of every person or entity receiving an expenditure which in the aggregate exceeds one hundred dollars (\$100.00), and the amount of each expenditure.

The first report must be filed within seven (7) days from the date that said expenditure exceeds the aggregate of one hundred dollars (\$100.00). Thereafter, said person shall file additional CF-8 reports with the Board of Elections no later than seven (7) days after the independent expenditure is made.

The date for such expenditure is the date that a written contract, oral agreement or other promise is made to make an expenditure, rather than the date that the funds are actually expended.

For each expenditure made, a report must be filed with the Board of Elections identifying the source of monies used for said expenditure. For example, where an association or corporation uses monies provided by its members for the purpose of expressly advocating the support or defeat of a candidate, each person from whom said monies was received shall be identified in the filings with the Board of Elections, which shall include the person's name, address, and amount contributed for the purpose of making an electioneering communication or other such expenditure by said corporation or association. Each such person shall be identified on Form CF-8.

Further, when a member of a legal entity that is making independent expenditures transfers money or other thing of value to said legal entity, and knows that

the monies or other thing of value is to be used by the legal entity for the purpose of making an expenditure in support of or in opposition to a candidate for office, said donor must file a Form CF-8 with the Board, within seven (7) days of the transfer.

Additionally, any legal entity receiving said monies or other thing of value must likewise report to the Board the receipt of said monies or item of value within seven (7) days. The legal entity receiving said monies or other thing of value shall forward a copy of Form CF-8 to the donor member with notice that said form may be required to be completed by the donor member. This shall apply whenever a legal entity receives any money or other thing of value in excess of one hundred dollars (\$100.00) from any single source. No corporation, whether for profit or non-profit, domestic or foreign, or any other legal entity as defined herein, is permitted to make any expenditures to or with any candidate, political action committee, or political party committee, or for any candidate, political action committee, or political party committee to accept any campaign contribution or expenditure from such corporation or other legal entity.

An expenditure shall be deemed to be made to or with any candidate, political action committee, or political party, if one or more of the following factors are present:

(a) There is any arrangement, coordination, or direction with respect to the expenditure between the candidate or the candidate's agent and the person making the expenditure;

(b) In the same election cycle, the person making the expenditure, including any officer, director, employee, or agent of the person, is or has been authorized to raise or expend funds on behalf of the candidate or the candidate's authorized committees, or is or has been an officer of the candidate's authorized committees, or is or has been

receiving any form of compensation or reimbursement from the candidate, the candidate's authorized committees, or the candidate's agent;

(c) The person making the expenditure, including any officer, director, employee, or agent of the person, has communicated with, advised, or counseled, the candidate or the candidate's agents at any time on the candidate's plans, projects, or needs relating to the candidate's pursuit of election to office in the same election cycle, including any advice relating to the candidate's decision to seek election to office;

(d) The person making the expenditures retains the professional services of any individual or other person also providing those services to the candidate in connection with the candidate's pursuit of election to office in the same election cycle, including any services relating to the candidate's decision to seek election to office;

(e) The person making the expenditure, including any officer, director, employer, or agent of the person, has communicated or consulted at any time during the same election cycle about the candidate's plans, projects, or needs relating to the candidate's pursuit of election to office, with:

(i) Any officer, director, employee, or agent of a party committee that has made or intends to make expenditures or contributions, in connection with the candidate's campaign; or

(ii) Any person whose professional services have been retained by a political party committee that has made or intends to make expenditures or contributions;

(f) The expenditure is based on information provided to the person making the expenditure directly or indirectly by the candidate or the candidate's agents about the candidate's plans, projects, or needs; provided, that the candidate or the candidate's agents

are aware that the other person has made or is planning to make expenditures expressly advocating the candidate's election; or

(g) The expenditure is made by a person with the intention of seeking or obtaining any governmental benefit or consideration from the candidate by reason of the expenditure.

Nothing contained in this regulation shall be construed to limit the amount of monies expended by an independent candidate advocate for the purpose of independent candidate advocacy.

Independent candidate advocates shall maintain and preserve all records and supporting documentation for a period of four (4) years from the filing date.

Independent candidate advocates found in violation of this regulation may be fined within the provisions of Chapter 25 of Title 17.

SECTION 4. Disclaimer Requirement for Independent Expenditures

For any communication made for the purpose of expressly advocating the support or defeat of a candidate, by any person which is an independent expenditure and has not been authorized, or financed by a candidate, political party, candidate committee, or political action committee, a disclaimer statement identifying the person paying for the communication shall include a disclaimer statement, which must:

- State that the communication is not authorized by any candidate or the candidate's committee; and
- Identify the name and street address, telephone number and web address, if any, of the persons or legal entity who financed said communication.

An example of a disclaimer notice for a printed independent expenditure by a corporation would be as follows:

Paid for by Acme Corporation and not authorized by any candidate or candidate's committee. Contact us at: Acme Corporation, 111 Adams Street, Warwick, Rhode Island.

All disclaimers required by this section must be presented in a clear and conspicuous manner in order to give the reader, observer, or listener adequate notice of the identity of the person that paid for, and where required, authorized the communication. A disclaimer is not clear and conspicuous if it is difficult to read or hear, or if the placement is easily overlooked.

With respect to printed communications covered by this section, the disclaimer must also be of sufficient type size to be clearly readable by the recipient of the communication. If the communication is on printed material that measures no more than 24 inches by 36 inches, the disclaimer must be in 12-point type size. The disclaimer must be contained in a printed box set apart from the other contents of the communication. The disclaimer must also be printed with a reasonable degree of color contrast between the background and the printed statement. The disclaimer satisfies the color contrast requirement if it is printed in black text on a white background or if the degree of color contrast between the background and the text of the disclaimer is no less than the color contrast between the background and the largest text used in the communication.

Where the communication is made by radio, television or through any broadcast, cable, or satellite transmission, said communication must include the following audio statement: "xxx is responsible for the content of this advertisement," which must be spoken clearly, with the blank to be filled in with the name of the person paying for the communication and the name of the connected organization, if any, of the payer. Additionally, any communication transmitted visually through television or through any

other broadcast, cable or satellite transmission, must also include a similar written statement that must appear in clearly readable writing at the end of the visual communication. In order to be deemed clearly readable, the statement must include the following:

- (1) The statement must appear in letters equal to or greater than 4% of the vertical picture height;
- (2) The statement must be visible for a period of no less than 4 seconds; and
- (3) The statement must appear with a reasonable degree of color contrast between the background and the disclaimer statement. The color contrast requirement is satisfied if the statement is printed in black text on a white background or if the degree of color contrast between the background and the text of the disclaimer is no less than the color contrast between the background and the largest type size used in the communication.

SECTION 5. Disclosure Requirements

No person shall make any contribution to any other person, including a corporation, association, or union, for the purpose of an electioneering communication in any name except its own or in any manner for the purpose of disguising the true origin of said contribution. No person shall form or use a corporation or other legal entity to make electioneering communications with the intention to either disguise the true origin of the funds or evade the reporting requirements of this chapter.

Section 6. Implementation

The Board of Elections may promulgate procedures and forms necessary to implement the within rules and regulations required under the Rhode Island General Laws.


These rules and regulations were adopted at a meeting of the State Board of Elections held on the 13th day of July 2010 pursuant to the Administrative Procedures Act (R.I.G.L. 42-35-1, *et seq.*).

By Order of the Rhode Island Board of Elections


John A. Daluz, Chairman

7/15/10
Date

Witnessed by


Robert Kando, Executive Director

7/15/10
Date